



Employer	Address	Position	Type of Business	Date of Employment

(b) States in which you have been licensed or registered within the last ten (10) years to engage in the securities business.

\_\_\_\_\_

(c) Have you taken the examination given by the Financial Industry Regulatory Authority (FINRA)? \_\_\_\_\_ If, so, state whether you passed, which examination and give date.

\_\_\_\_\_

(d) Have you have been engaged in the securities business on a full time basis for the five (5) years immediately preceding the filing of this form?

\_\_\_\_\_

5. Do you own securities in this organization? \_\_\_\_\_

(a) Kind, amount and percentage of ownership of each class \_\_\_\_\_

\_\_\_\_\_

(b) How were they paid for? (If other than cash, explain fully.)

\_\_\_\_\_

(c) Is payment completed? (If not, explain) \_\_\_\_\_

\_\_\_\_\_

6. Have you any agreement, written or otherwise, relating to the acquisition of any additional interest? (If "yes" give full particulars on separate sheet, marked Exhibit 1).

\_\_\_\_\_

\_\_\_\_\_

7. State in full your arrangements with this organization regarding compensation, salary, commission, profit-sharing, bonus, and any other payments made for any purpose within the last three (3) years whether directly to you or to any person in whom you have a financial interest. (Attach a separate sheet if necessary, marked Exhibit 2 ).\_\_\_\_\_

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8. (a) What amount of your time do you devote to this organization's business or affairs?

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(b) Will you be engaged in such activities on a full-time or a part-time basis?\_\_\_\_\_

9. Have you ever:

- |  | Yes                      | No                       |
|--|--------------------------|--------------------------|
| (a) Been an officer, director or promoter in a company which has become insolvent?   | <input type="checkbox"/> | <input type="checkbox"/> |
| (b) Been convicted of any fraudulent acts in any transaction of any kind or character?   | <input type="checkbox"/> | <input type="checkbox"/> |
| (c) Been convicted of any misdemeanor involving a security or any aspect of the securities business, or of any felony?                               | <input type="checkbox"/> | <input type="checkbox"/> |
| (d) Been declared bankrupt, or made an assignment for the benefit of creditors?  | <input type="checkbox"/> | <input type="checkbox"/> |
| (e) Been permanently or temporarily enjoined from engaging in or continuing any conduct or practice involving any aspect of the securities business? | <input type="checkbox"/> | <input type="checkbox"/> |

**Instruction: If the answer to any part of question 9 is in the affirmative, attach a separate sheet providing full particular. If during the period of your association with the issuer or investment adviser an event occurs which would cause a current affirmative answer to any part of item 9, notify the Securities Regulation Division in writing as to the facts relating to such event.**

10. Have you or applicant company ever been the subject of any order entered by any state regulatory or administrative agency, department or office or the Securities & Exchange Commission, or any association of securities dealers, or securities exchange?

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**Instructions: If any part of question 10 is answered affirmatively, attach a separate sheet and provide fullfull particulars.**

**EXECUTION**

I, \_\_\_\_\_ do solemnly swear that the foregoing answers and statements, together with those in all Exhibits attached hereto, have been knowingly made by me and that the same are true and correct, and that I have not omitted to state any material fact bearing upon such matters.

Given under my hand this \_\_\_\_\_ day of \_\_\_\_\_  
(year)

\_\_\_\_\_  
Signature of Principal

Affidavit number \_\_\_\_\_

Subscribed and sworn before me by \_\_\_\_\_ of legal age,  
\_\_\_\_\_, and resident of \_\_\_\_\_  
(married or single)

personally known to me this \_\_\_\_\_ day of \_\_\_\_\_ of \_\_\_\_\_.  
(year).

At \_\_\_\_\_

\_\_\_\_\_  
Notary Public

Instructions:

The principal executing this form is required under applicable law to keep the information up to date.