



**COMMONWEALTH OF PUERTO RICO
COMMISSIONER OF FINANCIAL INSTITUTIONS
Centro Europa Building, Suite 600
1492 Ponce de León Avenue
San Juan, PR 00907- 4127
Tel. (787) 723-8403 Fax (787) 724-2604**

**BOND FOR BROKER-DEALER, INVESTMENT ADVISERS, AND AGENT
UNDER THE UNIFORM SECURITIES ACT
AND BLANKET BOND FOR AGENTS OF A BROKER-DEALER**

KNOW ALL MEN BY THESE PRESENT:

That _____, as Principal and _____ as Surety are firmly bound unto the people of the Commonwealth of Puerto Rico for the use and benefit of any person sustaining damages as result of any breach of the conditions hereinafter set forth in the penal sum of _____ thousand dollars (\$ _____) and in the case of a blanket bond \$2,000.00 per agent without limitation of the number of agents, for the payment of which sum, well and truly to be made, we bind ourselves, our heirs, executors, administrators, successors and assigns, jointly and severally, firmly by these presents.

THE CONDITIONS OF THE ABOVE OBLIGATION ARE SUCH THAT:

WHEREAS, the principal has made or is about to make an application to the Securities Regulation Division, Office of the Commissioner of Financial Institutions, for registration as broker-dealer, investment adviser, or agent, pursuant to the Uniform Securities Act of Puerto Rico; and

NOW THEREFORE the principal and Surety are each liable to the amount of the bond, or if a blanket bond covering agent to the amount of \$2,000.00 for each agent, for the payment of any judgment that may be obtained against the Principal or Surety on any suit under the Uniform Securities Act of Puerto Rico arising out of the conduct of the Principal or its agents in the securities business or the business of investment adviser; and for the reimbursement to customers for conversion, misappropriation or embezzlement by the Principal or its agents of funds or securities belonging to such customers; and apart from these conditions this bond will be of no

force and effect.

THIS BOND IS CONTINUOUS obligation until thirty (30) days after notice in writing of cancellation has been received by the Commissioner, but such cancellation shall not affect any liability for conduct occurring prior to the date cancellation becomes effective: *PROVIDED* that no suit may be maintained to enforce any liability hereon unless brought within two (2) years after the sale or other act or omission upon which such suit is based; and *PROVIDED* further that the liability of the Surety herein to all persons aggrieved shall not exceed the total amounts set forth above.

IN WITNESS WHEREOF the Principal and Surety have caused these presents to be executed

this _____ day of _____, _____ .
—(yYear)

(SEAL)

Name of Principal

Attest: _____ By: _____
Name and Title

Name of Surety

Attorney-in-Fact

Address of Attorney-in-Fact