

INDIVIDUAL NAME:	SSN: _ _ - _ - _
INDIVIDUAL CRD #:	FIRM CRD #:

1. GENERAL INFORMATION

FIRST NAME:	MIDDLE NAME:	LAST NAME:	SUFFIX:
FIRM CRD #:	FIRM NAME:	EMPLOYMENT DATE (MM/DD/YYYY):	CRD BRANCH #:
FIRM BILLING CODE:	INDIVIDUAL CRD #:	INDIVIDUAL SSN:	
OFFICE OF EMPLOYMENT ADDRESS STREET 1:		CITY:	STATE:
OFFICE OF EMPLOYMENT ADDRESS STREET 2:		COUNTRY:	POSTAL CODE:

Private Residence Check Box: If the Office of Employment address is a private residence, check this box.

2. FINGERPRINT INFORMATION

Electronic Filing Representation

By selecting this option, I represent that I am submitting or promptly will submit to the appropriate SRO a finger printcard as required under applicable SRO rules.

Fingerprint card barcode _____

Exceptions to the Fingerprint Requirement

By selecting this option, I affirm that:

- I have been employed continuously by the *filing firm* in an unregistered capacity since the last submission of a fingerprint card; or
- I am exempt from the fingerprint requirement because I meet one or more of the exemptions established by Rule 17f-2 under the Securities Exchange Act of 1934.

Investment Adviser Representative Only Applicants

I affirm that I am applying only as an investment adviser representative and that I am not also applying or have not also applied to become a broker-dealer representative. If this radio button/box is selected, continue below.

I am applying for registration only in *jurisdictions* that do not have fingerprint card filing requirements, or

I am applying for registration in *jurisdictions* that have fingerprint card filing requirements and I am submitting the appropriate fingerprint card directly to the *jurisdictions* for processing.

3. REGISTRATION WITH UNAFFILIATED FIRMS

Some *jurisdictions* prohibit "dual registration," which occurs when an individual chooses to maintain a concurrent registration as a representative/agent with two or more *firms* (either BD or IA *firms*) that are not *affiliated*. *Jurisdictions* that prohibit dual registration would not, for example, permit a broker-dealer agent working with brokerage *firm* A to maintain a registration with brokerage *firm* B if *firms* A and B are not owned or controlled by a common parent. Before seeking a dual registration status, you should consult the applicable rules or statutes of the *jurisdictions* with which you seek registration for prohibitions on dual registrations or any liability provisions.

Please indicate whether the individual will maintain a "dual registration" status by answering the questions in this section. (Note: An individual should answer 'yes' only if the individual is currently registered and is seeking registration with a *firm* (either BD or IA) that is not *affiliated* with the individual's current employing *firm*. If this is an initial application, an individual must answer 'no' to these questions; a "dual registration" may be initiated only after an initial registration has been established).

Answer "yes" or "no" to the following questions:

- | | | |
|---|------------|-----------|
| A. Will <i>applicant</i> maintain registration with a broker-dealer that is not <i>affiliated</i> with the <i>filing firm</i> ?
If you answer "yes," list the <i>firm(s)</i> in Section 12 (Employment History). | Yes | No |
| B. Will <i>applicant</i> maintain registration with an investment adviser that is not <i>affiliated</i> with the <i>filing firm</i> ?
If you answer "yes," list the <i>firm(s)</i> in Section 12 (Employment History). | Yes | No |

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9. IDENTIFYING INFORMATION / NAME CHANGES

FIRST NAME:	MIDDLE NAME:	LAST NAME:	SUFFIX:
DATE OF BIRTH:	STATE / PROVINCE OF BIRTH:	COUNTRY OF BIRTH:	SEX: MALE FEMALE
HEIGHT (FT):	HEIGHT (IN):	WEIGHT (LBS):	HAIR COLOR:
EYE COLOR:			

10. OTHER NAMES

Enter all other names that you have used or are using, or by which you are known or have been known, other than your legal name, since the age of 18. This field should include, for example, nicknames, aliases, and names used before or after marriage.

FIRST NAME:	MIDDLE NAME:	LAST NAME:	SUFFIX:
FIRST NAME:	MIDDLE NAME:	LAST NAME:	SUFFIX:

11. RESIDENTIAL HISTORY

Starting with the current address, give all addresses for the past 5 years. Report changes as they occur.

FROM (MM / YYYY):	TO (MM / YYYY):	STREET ADDRESS 1:	STREET ADDRESS 2:
CITY:	STATE:	COUNTRY:	POSTAL CODE:
FROM (MM / YYYY):	TO (MM / YYYY):	STREET ADDRESS 1:	STREET ADDRESS 2:
CITY:	STATE:	COUNTRY:	POSTAL CODE:

12. EMPLOYMENT HISTORY

Provide complete employment history for the past 10 years. Include the *firm(s)* noted in Section 1 (GENERAL INFORMATION) and Section 6 (REGISTRATION REQUESTS WITH AFFILIATED FIRMS). Include all *firm(s)* from Section 3 (REGISTRATION WITH UNAFFILIATED FIRMS). Account for all time including full and part-time employments, self employment, military service, and homemaking. Also include statuses such as unemployed, full-time education, extended travel, or other similar statuses. Report changes as they occur.

FROM (MM / YYYY):	TO (MM / YYYY):	NAME OF FIRM OR COMPANY:	CITY:
STATE:	COUNTRY:	INVESTMENT RELATED BUSINESS? YES NO	POSITION HELD:
FROM (MM / YYYY):	TO (MM / YYYY):	NAME OF FIRM OR COMPANY:	CITY:
STATE:	COUNTRY:	INVESTMENT RELATED BUSINESS? YES NO	POSITION HELD:
FROM (MM / YYYY):	TO (MM / YYYY):	NAME OF FIRM OR COMPANY:	CITY:
STATE:	COUNTRY:	INVESTMENT RELATED BUSINESS? YES NO	POSITION HELD:
FROM (MM / YYYY):	TO (MM / YYYY):	NAME OF FIRM OR COMPANY:	CITY:
STATE:	COUNTRY:	INVESTMENT RELATED BUSINESS? YES NO	POSITION HELD:

13. OTHER BUSINESS

Are you currently engaged in any other business either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise? (Please exclude non *investment-related* activity which is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.) If YES, please provide the following details: the name of the other business, whether the business is *investment-related*, the address of the other business, the nature of the other business, your position, title, or relationship with the other business, the start date of your relationship, the approximate number of hours/month you devote to the other business, the number of hours you devote to the other business during securities trading hours, and briefly describe your duties relating to the other business. **Yes No** If 'Yes,' please enter details below.

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14. DISCLOSURE QUESTIONS

IF THE ANSWER TO ANY OF THE FOLLOWING QUESTIONS IS 'YES',
COMPLETE DETAILS OF ALL EVENTS OR PROCEEDINGS ON APPROPRIATE DRP(S)

REFER TO THE EXPLANATION OF TERMS SECTION OF FORM U-4 INSTRUCTIONS FOR EXPLANATIONS OF ITALICIZED TERMS.

Criminal Disclosure	<p>14A. (1) Have you ever:</p> <p>(a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any <i>felony</i>?</p> <p>(b) been <i>charged</i> with any <i>felony</i>?</p> <p>(2) Based upon activities that occurred while you exercised control over it, has an organization ever:</p> <p>(a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic or foreign court to any <i>felony</i>?</p> <p>(b) been <i>charged</i> with any <i>felony</i>?</p>	<p>YES NO</p>	<p>14G. Have you been notified, in writing, that you are now the subject of any:</p> <p>(1) regulatory complaint or <i>proceeding</i> that could result in a "yes" answer to any part of 14C, D or E? (If yes, complete the <i>Regulatory Action Disclosure Reporting Page</i>.)</p> <p>(2) <i>investigation</i> that could result in a "yes" answer to any part of 14A, B, C, D or E? (If yes, complete the <i>Investigation Disclosure Reporting Page</i>.)</p>	<p>YES NO</p>
	<p>14B.(1) Have you ever:</p> <p>(a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to a <i>misdemeanor involving: investments or an investment-related business or any fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses?</i></p> <p>(b) been <i>charged</i> with a <i>misdemeanor</i> specified in 14B(1)(a)?</p> <p>(2) Based upon activities that occurred while you exercised control over it, has an organization ever:</p> <p>(a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic or foreign court to a <i>misdemeanor</i> specified in 14B(1)(a)?</p> <p>(b) been <i>charged</i> with a <i>misdemeanor</i> specified in 14B(1)(a)?</p>	<p>YES NO</p>	<p>Civil Judicial Actions</p> <p>14H. (1) Has any domestic or foreign court ever:</p> <p>(a) <i>enjoined</i> you in connection with any <i>investment-related activity</i>?</p> <p>(b) <i>found</i> that you were <i>involved</i> in a violation of any <i>investment-related statute(s)</i> or regulation(s)?</p> <p>(c) dismissed, pursuant to a settlement agreement, an <i>investment-related civil action</i> brought against you by a state or <i>foreign financial regulatory authority</i>?</p> <p>(2) Are you named in any pending investment-related civil action that could result in a "yes" answer to any part of 14H(1)?</p>	<p>YES NO</p>
Regulatory Disciplinary Actions	<p>14C. Has the U.S. Securities and Exchange Commission or the Commodity Futures Trading Commission ever:</p> <p>(1) <i>found</i> you to have made a false statement or omission?</p> <p>(2) <i>found</i> you to have been <i>involved</i> in a violation of its regulations or statutes?</p> <p>(3) <i>found</i> you to have been a cause of an <i>investment-related business</i> having its authorization to do business denied, suspended, revoked, or restricted?</p> <p>(4) entered an <i>order</i> against you in connection with <i>investment-related activity</i>?</p> <p>(5) imposed a civil money penalty on you, or <i>ordered</i> you to cease and desist from any activity?</p> <p>14D. Has any other Federal regulatory agency or any state regulatory agency or foreign financial regulatory authority ever:</p> <p>(1) <i>found</i> you to have made a false statement or omission or been dishonest, unfair or unethical?</p> <p>(2) <i>found</i> you to have been <i>involved</i> in a violation of <i>investment-related regulation(s)</i> or statute(s)?</p> <p>(3) <i>found</i> you to have been a cause of an <i>investment-related business</i> having its authorization to do business denied, suspended, revoked or restricted?</p> <p>(4) entered an <i>order</i> against you in connection with an <i>investment-related activity</i>?</p> <p>(5) denied, suspended, or revoked your registration or license or otherwise, by <i>order</i>, prevented you from associating with an <i>investment-related business</i> or restricted your activities?</p> <p>14E. Has any self-regulatory organization or commodities exchange ever:</p> <p>(1) <i>found</i> you to have made a false statement or omission?</p> <p>(2) <i>found</i> you to have been <i>involved</i> in a violation of its rules (other than a violation designated as a "<i>minor rule violation</i>" under a plan approved by the U.S. Securities and Exchange Commission)?</p> <p>(3) <i>found</i> you to have been the cause of an <i>investment-related business</i> having its authorization to do business denied, suspended, revoked or restricted?</p> <p>(4) disciplined you by expelling or suspending you from membership, barring or suspending your association with its members, or restricting your activities?</p> <p>14F. Has your authorization to act as an attorney, accountant or federal contractor ever been revoked or suspended?</p>	<p>YES NO</p>	<p>Customer Complaints</p> <p>14I. (1) Have you ever been named as a respondent/defendant in an investment-related consumer-initiated arbitration or civil litigation which alleged that you were involved in one or more sales practice violations and which:</p> <p>(a) is still pending, or;</p> <p>(b) resulted in an arbitration award or civil judgment against you, regardless of amount, or;</p> <p>(c) was settled for an amount of \$10,000 or more?</p> <p>(2) Have you ever been the subject of an investment-related, consumer-initiated complaint, not otherwise reported under question 14I(1) above, which alleged that you were involved in one or more sales practice violations, and which complaint was settled for an amount of \$10,000 or more?</p> <p>(3) Within the past twenty four (24) months, have you been the subject of an investment-related, consumer-initiated written complaint, not otherwise reported under question 14I(1) or 14I(2) above, which:</p> <p>(a) alleged that you were <i>involved</i> in one or more <i>sales practice violations</i> and contained a claim for compensatory damages of \$5,000 or more (if no damage amount is alleged, the complaint must be reported unless the firm has made a good faith determination that the damages from the alleged conduct would be less than \$5,000), or;</p> <p>(b) alleged that you were <i>involved</i> in forgery, theft, misappropriation or conversion of funds or securities?</p>	<p>YES NO</p>
	<p>14J. Have you ever voluntarily resigned, been discharged or permitted to resign after allegations were made that accused you of:</p> <p>(1) violating <i>investment-related statutes, regulations, rules, or industry standards of conduct</i>?</p> <p>(2) fraud or the wrongful taking of property?</p> <p>(3) failure to supervise in connection with <i>investment-related statutes, regulations, rules or industry standards of conduct</i>?</p>	<p>YES NO</p>	<p>Terminations</p>	<p>YES NO</p>
	<p>14K. Within the past 10 years:</p> <p>(1) have you made a compromise with creditors, filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition?</p> <p>(2) based upon events that occurred while you exercised control over it, has an organization made a compromise with creditors, filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition?</p> <p>(3) based upon events that occurred while you exercised control over it, has a broker or dealer been the subject of an involuntary bankruptcy petition, or had a trustee appointed, or had a direct payment procedure initiated under the Securities Investor Protection Act?</p> <p>14L. Has a bonding company ever denied, paid out on, or revoked a bond for you?</p> <p>14M. Do you have any unsatisfied judgments or liens against you?</p>	<p>YES NO</p>	<p>Financial</p>	<p>YES NO</p>

INDIVIDUAL NAME:	SSN: _ _ - _ - _ _ _
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ATTACHMENT SHEET

Use this attachment sheet to report continued information.

SECTION NUMBER	ANSWER

INDIVIDUAL NAME:	SSN: ____ - ____ - ____
INDIVIDUAL CRD #:	FIRM CRD #:

CUSTOMER COMPLAINT DRP (CONTINUED)

5. Allegation(s) and a brief summary of events related to the allegation(s) including dates when activities leading to the allegation(s) occurred:

6. Principal Product Type: _____ Other Product Types:

7. Alleged Compensatory Damage Amount: _____

8. Is complaint pending? **Yes** **No**

9. If the complaint is not pending, provide status:
 If status is settlement, complete questions 11 and 12;
 If status is arbitration/reparation, complete questions 13-19;
 If status is litigation, complete questions 20-27. Complete question 28 for all statuses.

Closed/No Action Withdrawn Denied Settled Arbitration/Reparation Litigation

10. Status Date (MM/DD/YYYY): _____ **Exact** **Explanation**
 If not exact, provide explanation:

11. Settlement Amount (if settled without Arbitration, Litigation or Reparation): _____

12. Individual Contribution Amount: _____

IF ARBITRATION OR CFTC REPARATION

13. Arbitration/Reparation claim filed with (NASD, AAA, NYSE, CBOE, CFTC, etc.) and Docket/Case Number:

14. Date notice/process was served (MM/DD/YYYY): _____ **Exact** **Explanation**
 If not exact, provide explanation:

15. Is arbitration/reparation pending? **Yes** **No**

16. If the arbitration/reparation is not pending, what was the disposition? _____

17. Disposition Date (MM/DD/YYYY): _____ **Exact** **Explanation**
 If not exact, provide explanation:

18. Amount of Monetary Compensation (award, settlement, reparation amount): \$ _____

19. Individual Contribution Amount: \$ _____

IF CIVIL LITIGATION

20. Court that case was filed in (include name of Federal, Military, State or Foreign Court, Location of Court - City or County and State or Country, Docket/Case number).

21. Date notice/process was served (MM/DD/YYYY): _____ **Exact** **Explanation**
 If not exact, provide explanation:

22. Is the civil litigation pending? **Yes** **No**

23. If the civil litigation is not pending, what was the disposition? _____

24. Disposition Date (MM/DD/YYYY): _____ **Exact** **Explanation**
 If not exact, provide explanation:

