

<input type="text"/>	<input type="text"/>	<input type="text"/>
City	State	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>
Investment-Related Business?	Position Held	
<input type="radio"/> Yes <input type="radio"/> No	<input type="text"/>	

### 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 that 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.

### 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)**

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**REFER TO THE EXPLANATION OF TERMS SECTION OF FORM U4  
INSTRUCTIONS FOR EXPLANATIONS OF ITALICIZED TERMS.**

#### Criminal Disclosure

	YES	NO
<b>14A. (1) Have you ever:</b>		
(a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any <i>felony</i> ?	<input type="radio"/>	<input type="radio"/>
(b) been <i>charged</i> with any <i>felony</i> ?	<input type="radio"/>	<input type="radio"/>
<b>(2) Based upon activities that occurred while you exercised <i>control</i> over it, has an organization ever:</b>		
(a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic or foreign court to any <i>felony</i> ?	<input type="radio"/>	<input type="radio"/>
(b) been <i>charged</i> with any <i>felony</i> ?	<input type="radio"/>	<input type="radio"/>
<b>14B. (1) Have you ever:</b>		
(a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign or military court to a <i>misdemeanor involving</i> : investments or an <i>investment-related</i> business or any fraud, false	<input type="radio"/>	<input type="radio"/>

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statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses?

(b) been *charged* with a *misdemeanor* specified in 14B(1)(a)? ☐ ☐

(2) Based upon activities that occurred while you exercised *control* over it, has an organization ever:

(a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic or foreign court to a *misdemeanor* specified in 14B(1)(a)? ☐ ☐

(b) been *charged* with a *misdemeanor* specified in 14B(1)(a)? ☐ ☐

#### Regulatory Action Disclosure

14C.	Has the U.S. Securities and Exchange Commission or the Commodity Futures Trading Commission ever:	YES NO	
		<input type="radio"/>	<input type="radio"/>
	(1) <i>found</i> you to have made a false statement or omission?	<input type="radio"/>	<input type="radio"/>
	(2) <i>found</i> you to have been <i>involved</i> in a violation of its regulations or statutes?	<input type="radio"/>	<input type="radio"/>
	(3) <i>found</i> you to have been a cause of an <i>investment-related</i> business having its authorization to do business denied, suspended, revoked, or restricted?	<input type="radio"/>	<input type="radio"/>
	(4) entered an <i>order</i> against you in connection with <i>investment-related</i> activity?	<input type="radio"/>	<input type="radio"/>
	(5) imposed a civil money penalty on you, or <i>ordered</i> you to cease and desist from any activity?	<input type="radio"/>	<input type="radio"/>
	(6) <i>found</i> you to have willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or <i>found</i> you to have been unable to comply with any provision of such Act, rule or regulation?	<input type="radio"/>	<input type="radio"/>
	(7) <i>found</i> you to have willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board?	<input type="radio"/>	<input type="radio"/>
	(8) <i>found</i> you to have failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules	<input type="radio"/>	<input type="radio"/>

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of the Municipal Securities Rulemaking Board?

**14D(1) Has any other Federal regulatory agency or any state regulatory agency or foreign financial regulatory authority ever:**

- |   |                       |                       |
|---|-----------------------|-----------------------|
| (a) <i>found</i> you to have made a false statement or omission or been dishonest, unfair or unethical?   | <input type="radio"/> | <input type="radio"/> |
| (b) <i>found</i> you to have been <i>involved</i> in a violation of <i>investment-related</i> regulation(s) or statute(s)?  | <input type="radio"/> | <input type="radio"/> |
| (c) <i>found</i> you to have been a cause of an <i>investment-related</i> business having its authorization to do business denied, suspended, revoked or restricted?                                    | <input type="radio"/> | <input type="radio"/> |
| (d) entered an <i>order</i> against you in connection with an <i>investment-related</i> activity?   | <input type="radio"/> | <input type="radio"/> |
| (e) denied, suspended, or revoked your registration or license or otherwise, by <i>order</i> , prevented you from associating with an <i>investment-related</i> business or restricted your activities? | <input type="radio"/> | <input type="radio"/> |

**14D(2) Have you been subject to any final order of a state securities commission (or any agency or officer performing like functions), state authority that supervises or examines banks, savings associations, or credit unions, state insurance commission (or any agency or office performing like functions), an appropriate federal banking agency, or the National Credit Union Administration, that:**

- |  |                       |                       |
|--|-----------------------|-----------------------|
| (a) bars you from association with an entity regulated by such commission, authority, agency, or officer, or from engaging in the business of securities, insurance, banking, savings association activities, or credit union activities; or | <input type="radio"/> | <input type="radio"/> |
| (b) constitutes a <i>final order</i> based on violations of any laws or regulations that prohibit <u>fraudulent, manipulative, or deceptive conduct</u> ?  | <input type="radio"/> | <input type="radio"/> |

**14E. Has any self-regulatory organization, ever:**

- |  |                       |                       |
|--|-----------------------|-----------------------|
| (1) <i>found</i> you to have made a false statement or omission?   | <input type="radio"/> | <input type="radio"/> |
| (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)? | <input type="radio"/> | <input type="radio"/> |
| (3) <i>found</i> you to have been the cause of an <i>investment-related</i> business having its authorization to do business denied, suspended, revoked or restricted?   | <input type="radio"/> | <input type="radio"/> |
| (4) disciplined you by expelling or suspending you from membership, barring or suspending your association with its members, or restricting your activities?   | <input type="radio"/> | <input type="radio"/> |
| (5) <i>found</i> you to have willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment   | <input type="radio"/> | <input type="radio"/> |

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	<u>Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or found you to have been unable to comply with any provision of such Act, rule or regulation?</u>	<input type="radio"/>	<input type="radio"/>
	(6) <u>found you to have willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board?</u>	<input type="radio"/>	<input type="radio"/>
	(7) <u>found you to have failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board?</u>	<input type="radio"/>	<input type="radio"/>
14F.	<b>Have you ever had an authorization to act as an attorney, accountant or federal contractor that was revoked or suspended?</b>	<input type="radio"/>	<input type="radio"/>
14G.	<b>Have you been notified, in writing, that you are now the subject of any:</b>		
	(1) <u>regulatory complaint or proceeding that could result in a "yes" answer to any part of 14C, D or E? (If yes, complete the Regulatory Action Disclosure Reporting Page.)</u>	<input type="radio"/>	<input type="radio"/>
	(2) <u>investigation that could result in a "yes" answer to any part of 14A, B, C, D or E? (If yes, complete the Investigation Disclosure Reporting Page.)</u>	<input type="radio"/>	<input type="radio"/>
<b>Civil Judicial Disclosure</b>			
14H. (1)	<b>Has any domestic or foreign court ever:</b>	<b>YES</b>	<b>NO</b>
	(a) <u>enjoined you in connection with any investment-related activity?</u>	<input type="radio"/>	<input type="radio"/>
	(b) <u>found that you were involved in a violation of any investment- related statute(s) or regulation(s)?</u>	<input type="radio"/>	<input type="radio"/>
	(c) <u>dismissed, pursuant to a settlement agreement, an investment- related civil action brought against you by a state or foreign financial regulatory authority?</u>	<input type="radio"/>	<input type="radio"/>
	(2) <u>Are you named in any pending investment-related civil action that could result in a "yes" answer to any part of 14H(1)?</u>	<input type="radio"/>	<input type="radio"/>
<b>Customer Complaint/Arbitration/Civil Litigation Disclosure</b>			
14I. (1)	<b>Have you ever been <u>named</u> as a respondent/defendant in an</b>	<b>YES</b>	<b>NO</b>

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*investment-related*, consumer-initiated arbitration or civil litigation which alleged that you were *involved* in one or more *sales practice violations* and which:

- ^ (a) is still pending, or; 0 0
- ^ (b) resulted in an arbitration award or civil judgment against you, regardless of amount, or; 0 0
- (c) was settled, prior to [insert effective date of proposed rule change], for an amount of \$10,000 or more, or; 0 0
- ^ (d) was settled, on or after [insert effective date of proposed rule change], for an amount of \$15,000 or more? 0 0

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- (2) Have you ever been the subject of an *investment-related*, consumer-initiated (written or oral) complaint, which alleged that you were *involved* in one or more *sales practice violations*, and which:

- (a) was settled, prior to [insert effective date of proposed rule change], for an amount of \$10,000 or more, or;
- (b) was settled, on or after [insert effective date of proposed rule change], for an amount of \$15,000 or more? 0 0

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- (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(2) above, which:

- (a) alleged that you were *involved* in one or more *sales practice violations* 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; 0 0
- (b) alleged that you were *involved* in forgery, theft, misappropriation or conversion of funds or securities? 0 0

Answer questions (4) and (5) below only for arbitration claims or civil litigation filed on or after [insert effective date of proposed rule change]

- (4) Have you ever been the subject of an *investment-related*, *consumer-initiated* arbitration claim or civil litigation which alleged that you were *involved* in one more *sales practice violations*, and which:

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- (a) was settled for an amount of \$15,000 or more, or; 0 0
- (b) resulted in an arbitration award or civil judgment against any 0 0

named respondent(s)/defendant(s), regardless of any amount?

- (5) Within the past twenty four (24) months, have you been the subject of an *investment-related*, consumer-initiated arbitration claim or civil litigation not otherwise reported under question 14I(4) above, which:

- (a) alleged that you were *involved* in one or more *sales practice violations* and contained a claim for compensatory damages of \$5,000 or more (if no damage amount is alleged, the arbitration claim or civil litigation 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;
- (b) alleged that you were *involved* in forgery, theft, misappropriation or conversion of funds or securities?

☐ ☐

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#### Termination Disclosure

- 14J. Have you ever voluntarily *resigned*, been discharged or permitted to *resign* after allegations were made that accused you of:

YES NO

- (1) violating *investment-related* statutes, regulations, rules, or industry standards of conduct?
- (2) fraud or the wrongful taking of property?
- (3) failure to supervise in connection with *investment-related* statutes, regulations, rules or industry standards of conduct?

☐ ☐

☐ ☐

☐ ☐

#### Financial Disclosure

- 14K. Within the past 10 years:

YES NO

- (1) have you made a compromise with creditors, filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition?
- (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?
- (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?

☐ ☐

☐ ☐

☐ ☐

- 14L. Has a bonding company ever denied, paid out on, or revoked a bond for you?

☐ ☐

- 14M. Do you have any unsatisfied judgments or liens against you?

☐ ☐

#### 15. SIGNATURES

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Please Read Carefully.

All signatures required on this Form U4 filing must be made in this section.

A "signature" includes a manual signature or an electronically transmitted equivalent. For purposes of an electronic form filing, a signature is effected by typing a name in the designated signature field. By typing a name in this field, the signatory acknowledges and represents that the entry constitutes in every way, use, or aspect, his or her legally binding signature.

**15A INDIVIDUAL/APPLICANT'S ACKNOWLEDGMENT AND CONSENT**

This section must be completed on all initial or Temporary Registration form filings.

**15B FIRM/APPROPRIATE SIGNATORY REPRESENTATIONS**

This section must be completed on all initial or Temporary Registration form filings.

**15C TEMPORARY REGISTRATION ACKNOWLEDGMENT**

This section must be completed on Temporary Registration form filings to be able to receive Temporary Registration.

**15D INDIVIDUAL/APPLICANT'S AMENDMENT ACKNOWLEDGMENT AND CONSENT**

This section must be completed on any amendment filing that amends any information in Section 14 (Disclosure Questions) or any Disclosure Reporting Page (DRP).

**15E FIRM/APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS**

This section must be completed on all amendment form filings.

**15F FIRM/APPROPRIATE SIGNATORY CONCURRENCE**

This section must be completed to concur with a U4 filing made by another *firm* (IA/BD) on behalf of an individual that is also registered with that other *firm* (IA/BD).

**15A. INDIVIDUAL/APPLICANT'S ACKNOWLEDGMENT AND CONSENT**

1. I swear or affirm that I have read and understand the items and instructions on this form and that my answers (including attachments) are true and complete to the best of my knowledge. I understand that I am subject to administrative, civil or criminal penalties if I give false or misleading answers.
2. I apply for registration with the *jurisdictions* and *SROs* indicated in Section 4 (SRO REGISTRATION) and Section 5 (JURISDICTION REGISTRATION) as may be amended from time to time and, in consideration of the *jurisdictions* and *SROs* receiving and considering my application, I submit to the authority of the *jurisdictions* and *SROs* and agree to comply with all provisions, conditions and covenants of the statutes, constitutions, certificates of incorporation, by-laws and rules and regulations of the *jurisdictions* and *SROs* as they are or may be adopted, or amended from time to time. I further agree to be subject to and comply with all requirements, rulings, orders, directives and decisions of, and penalties, prohibitions and limitations imposed by the *jurisdictions* and *SROs*, subject to right of appeal or review as provided by law.
3. I agree that neither the *jurisdictions* or *SROs* nor any person acting on their behalf shall be liable to me for action taken or omitted to be taken in official capacity or in the scope of employment, except as otherwise provided in the statutes, constitutions, certificates of incorporation, by-laws or the rules and regulations of the *jurisdictions* and *SROs*.
4. I authorize the *jurisdictions*, *SROs*, and the *designated entity* to give any information they may have concerning me to any employer or prospective employer, any federal, state or

municipal agency, or any other *SRO* and I release the *jurisdictions*, *SROs*, and the *designated entity*, and any person acting on their behalf from any and all liability of whatever nature by reason of furnishing such information.

5. I agree to arbitrate any dispute, claim or controversy that may arise between me and my *firm*, or a customer, or any other person, that is required to be arbitrated under the rules, constitutions, or by-laws of the *SROs* indicated in Section 4 (SRO REGISTRATION) as may be amended from time to time and that any arbitration award rendered against me may be entered as a judgment in any court of competent *jurisdiction*.
6. For the purpose of complying with the laws relating to the offer or sale of securities or commodities or investment advisory activities, I irrevocably appoint the administrator of each *jurisdiction* indicated in Section 5 (JURISDICTION REGISTRATION) as may be amended from time to time, or such other person designated by law, and the successors in such office, my attorney upon whom may be served any notice, process, pleading, subpoena or other document in any action or *proceeding* against me arising out of or in connection with the offer or sale of securities or commodities, or investment advisory activities or out of the violation or alleged violation of the laws of such *jurisdictions*. I consent that any such action or *proceeding* against me may be commenced in any court of competent *jurisdiction* and proper venue by service of process upon the appointee as if I were a resident of, and had been lawfully served with process in the *jurisdiction*. I request that a copy of any notice, process, pleading, subpoena or other document served hereunder be mailed to my current residential address as reflected in this form or any amendment thereto.
7. I consent that the service of any process, pleading, subpoena, or other document in any *investigation* or administrative *proceeding* conducted by the SEC, CFTC or a *jurisdiction* or in any civil action in which the SEC, CFTC or a *jurisdiction* are plaintiffs, or the notice of any *investigation* or *proceeding* by any *SRO* against the *applicant*, may be made by personal service or by regular, registered or certified mail or confirmed telegram to me at my most recent business or home address as reflected in this Form U4, or any amendment thereto, by leaving such documents or notice at such address, or by any other legally permissible means.

I further stipulate and agree that any civil action or administrative *proceeding* instituted by the SEC, CFTC or a *jurisdiction* may be commenced by the service of process as described herein, and that service of an administrative subpoena shall be effected by such service, and that service as aforesaid shall be taken and held in all courts and administrative tribunals to be valid and binding as if personal service thereof had been made.

8. I authorize all my employers and any other person to furnish to any *jurisdiction*, *SRO*, *designated entity*, employer, prospective employer, or any agent acting on its behalf, any information they have, including without limitation my creditworthiness, character, ability, business activities, educational background, general reputation, history of my employment and, in the case of former employers, complete reasons for my termination. Moreover, I release each employer, former employer and each other person from any and all liability, of whatever nature, by reason of furnishing any of the above information, including that information reported on the Uniform Termination Notice for Securities Industry Registration (Form U5). I recognize that I may be the subject of an investigative consumer report and waive any requirement of notification with respect to any investigative consumer report ordered by any *jurisdiction*, *SRO*, *designated entity*, employer, or prospective employer. I understand that I have the right to request complete and accurate disclosure by the *jurisdiction*, *SRO*, *designated entity*, employer or prospective employer of the nature and



scope of the requested investigative consumer report.

9. I understand and certify that the representations in this form apply to all employers with whom I seek registration as indicated in Section 1 (GENERAL INFORMATION) or Section 6 (REGISTRATION REQUESTS WITH AFFILIATED FIRMS) of this form. I agree to update this form by causing an amendment to be filed on a timely basis whenever changes occur to answers previously reported. Further, I represent that, to the extent any information previously submitted is not amended, the information provided in this form is currently accurate and complete.
10. I authorize any employer or prospective employer to file electronically on my behalf any information required in this form or any amendment thereto; I certify that I have reviewed and approved the information to be submitted to any *jurisdiction* or *SRO* on this Form U4 Application; I agree that I will review and approve all disclosure information that will be filed electronically on my behalf; I further agree to waive any objection to the admissibility of the electronically filed records in any criminal, civil, or administrative *proceeding*.

*Applicant* or *applicant's* agent has typed *applicant's* name under this section to attest to the completeness and accuracy of this record. The *applicant* recognizes that this typed name constitutes, in every way, use or aspect, his or her legally binding signature.

Date (MM/DD/YYYY)

Signature of *Applicant*

Printed Name

#### 15B. FIRM/APPROPRIATE SIGNATORY REPRESENTATIONS

To the best of my knowledge and belief, the *applicant* is currently bonded where required, and, at the time of approval, will be familiar with the statutes, constitution(s), rules and by-laws of the agency, *jurisdiction* or *SRO* with which this application is being filed, and the rules governing registered persons, and will be fully qualified for the position for which application is being made herein. I agree that, notwithstanding the approval of such agency, *jurisdiction* or *SRO* which hereby is requested, I will not employ the *applicant* in the capacity stated herein without first receiving the approval of any authority that may be required by law.

This *firm* has communicated with all of the *applicant's* previous employers for the past three years and has documentation on file with the names of the persons contacted and the date of contact. In addition, I have taken appropriate steps to verify the accuracy and completeness of the information contained in and with this application.

I have provided the *applicant* an opportunity to review the information contained herein and the *applicant* has approved this information and signed the Form U4.

Date (MM/DD/YYYY)

Signature of *Appropriate Signatory*

Printed Name

#### 15C. TEMPORARY REGISTRATION ACKNOWLEDGMENT

If an *applicant* has been registered in a *jurisdiction* or *self regulatory organization (SRO)* in the 30 days prior to the date an application for registration is filed with the Central Registration Depository or Investment Adviser Registration Depository, he or she may qualify for a Temporary Registration to conduct securities business in that *jurisdiction* or *SRO* if this acknowledgment is executed and filed with the Form U4 at the *applicant's firm*.

This acknowledgment must be signed only if the *applicant* intends to apply for a Temporary Registration while the application for registration is under review.

I request a Temporary Registration in each *jurisdiction* and/or *SRO* requested on this Form U4, while my registration with the *jurisdiction(s)* and/or *SRO(s)* requested is under review;

I am requesting a Temporary Registration with the *firm* filing on my behalf for the *jurisdiction(s)* and/or *SRO(s)* noted in Section 4 (SRO REGISTRATION) and/or Section 5 (JURISDICTION REGISTRATION) of this Form U4;

I understand that I may request a Temporary Registration only in those *jurisdiction(s)* and/or *SRO(s)* in which I have been registered with my prior *firm* within the previous 30 days;

I understand that I may not engage in any securities activities requiring registration in a *jurisdiction* and/or *SRO* until I have received notice from the CRD or IARD that I have been granted a Temporary Registration in that *jurisdiction* and/or *SRO*;

I agree that until the Temporary Registration has been replaced by a registration, any *jurisdiction* and/or *SRO* in which I have applied for registration may withdraw the Temporary Registration;

If a *jurisdiction* or *SRO* withdraws my Temporary Registration, my application will then be held pending in that *jurisdiction* and/or *SRO* until its review is complete and the registration is granted or denied, or the application is withdrawn;

I understand and agree that, in the event my Temporary Registration is withdrawn by a *jurisdiction* and/or *SRO*, I must immediately cease any securities activities requiring a registration in that *jurisdiction* and/or *SRO* until it grants my registration;

I understand that by executing this Acknowledgment I am agreeing not to challenge the withdrawal of a Temporary Registration; however, I do not waive any right I may have in any *jurisdiction* and/or *SRO* with respect to any decision by that *jurisdiction* and/or *SRO* to deny my application for registration.

Date (MM/DD/YYYY)

Signature of *Applicant*

Printed Name

#### 15D. AMENDMENT INDIVIDUAL/APPLICANT'S ACKNOWLEDGMENT AND CONSENT

Date (MM/DD/YYYY)

Signature of *Applicant*

Printed Name

#### 15E. FIRM/APPROPRIATE SIGNATORY AMENDMENT

**REPRESENTATIONS****Date (MM/DD/YYYY)****Signature of *Applicant*****Printed Name****15F. FIRM/APPROPRIATE SIGNATORY CONCURRENCE**

By typing an appropriate signatory's name in this field, I swear or affirm that I have reviewed and that I concur with this filing.

**Date (MM/DD/YYYY)****Signature of *Applicant*****Printed Name**

[Last Name], [First Name] [Middle Initial]: [CRD Number]

[Firm Name]: [Firm CRD#]

Reference #: [Reference #]

### U4 – Criminal DRP

This Disclosure Reporting Page is an ☐ INITIAL or ☐ AMENDED response to report details for affirmative response(s) to Question(s) 14A or 14B on Form U4;

Check the question(s) you are responding to, regardless of whether you are answering the question(s) "yes" or amending the answer(s) to "no":

☐ 14A(1)(a)    ☐ 14A(1)(b)    ☐ 14A(2)(a)    ☐ 14A(2)(b)  
☐ 14B(1)(a)    ☐ 14B(1)(b)    ☐ 14B(2)(a)    ☐ 14B(2)(b)

[Click here to view question text](#)

Use this DRP to report all charges arising out of the same event. One event may result in more than one affirmative answer to the above items. Multiple counts of the same charge arising out of the same event should be reported on the same DRP. Unrelated criminal actions, including separate cases arising out of the same event, must be reported on separate DRPs.

Applicable court documents (i.e., criminal complaint, information or indictment as well as judgment of conviction or sentencing documents) must be provided to the CRD if not previously submitted.

1. If charge(s) were brought against an organization over which you exercise(d) control:

A. Organization Name:

B. Investment-related business? ☐ Yes ☐ No

C. Position, title or relationship:

2. Formal Action was brought in:

☐ Federal Court    ☐ State Court    ☐ Foreign Court    ☐ Military Court    ☐ Other:

A. Name of Court:

B. Location of Court (City or County and State or Country):

C. Docket/Case#:

3. Event Status:

A. Current Status of the event? ☐ Pending ☐ On Appeal ☐ Final

B. Event Status Date (complete unless status is pending (MM/DD/YYYY):  ☐ Exact ☐ Explanation

If not exact, provide explanation:

4. Event and Disposition Disclosure Detail (Use this for both organizational and individual charges):

A. Date First Charged (MM/DD/YYYY):  ☐ Exact ☐ Explanation

If not exact, provide explanation:

## B. Event and Disposition Detail (complete every field for each charge.):

ADD CHARGE

Formal Charge/Description:

No. of Counts:

Felony or Misdemeanor:



Felony



Misdemeanor

Plea for each charge:

Disposition of charge:

Explanation:

Date of Amended Charge,  
If applicable:
If original charge was amended or reduced, specify new charge  
(i.e., list amended charge or reduced charge):
No. of Counts (for amended  
or reduced charge):
Specify if amended or reduced  
charge is a *Felony* or *Misdemeanor*:

Felony



Misdemeanor



Other:

Plea for each amended or  
reduced charge:
Disposition of amended or  
reduced charge:

Explanation:

C. Date of Disposition (MM/DD/YYYY):



Exact



Explanation

If not exact, provide explanation:

D. Sentence/Penalty; Duration (if suspension, probation, etc): Start Date of Penalty: (MM/DD/YYYY);

End date of Penalty: (MM/DD/YYYY); If Monetary penalty/fine – Amount paid; Date monetary/penalty  
fine paid: (MM/DD/YYYY) if not exact, provide explanation.
5. Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the  
charge(s) as well as the current status or final disposition. Your information must fit within the space provided.

[Last Name, First Middle]: [CRD Number]

[Firm Name]: [Firm CRD Number]

Reference#: [Reference Number]

## U4 – REGULATORY ACTION DRP

This Disclosure Reporting Page is an ☐ INITIAL or ☐ AMENDED response to report details for affirmative response(s) to **Question(s) 14C, 14D, 14E, 14F and 14G(1)** on Form U4;

Check the question(s) you are responding to, regardless of whether you are answering the question(s) "yes" or amending the answer(s) to "no":

- |                                 |                                    |                                 |                                 |
|---------------------------------|------------------------------------|---------------------------------|---------------------------------|
| <input type="checkbox"/> 14C(1) | <input type="checkbox"/> 14D(1)(a) | <input type="checkbox"/> 14E(1) | <input type="checkbox"/> 14F    |
| <input type="checkbox"/> 14C(2) | <input type="checkbox"/> 14D(1)(b) | <input type="checkbox"/> 14E(2) |                                 |
| <input type="checkbox"/> 14C(3) | <input type="checkbox"/> 14D(1)(c) | <input type="checkbox"/> 14E(3) | <input type="checkbox"/> 14G(1) |
| <input type="checkbox"/> 14C(4) | <input type="checkbox"/> 14D(1)(d) | <input type="checkbox"/> 14E(4) |                                 |
| <input type="checkbox"/> 14C(5) | <input type="checkbox"/> 14D(1)(e) | <input type="checkbox"/> 14E(5) |                                 |
| <input type="checkbox"/> 14C(6) | <input type="checkbox"/> 14D(2)(a) | <input type="checkbox"/> 14E(6) |                                 |
| <input type="checkbox"/> 14C(7) | <input type="checkbox"/> 14D(2)(b) | <input type="checkbox"/> 14E(7) |                                 |
| <input type="checkbox"/> 14C(8) |                                    |                                 |                                 |

[Click here to view question text.](#)

One event may result in more than one affirmative answer to the above items. Use only one DRP to report details related to the same event. If an event gives rise to actions by more than one regulator, provide details to each action on a separate DRP.

## 1. Regulatory Action initiated by:

A. (Select appropriate item):

- ☐ SEC    ☐ Other Federal Agency    ☐ Jurisdiction    ☐ SRO    ☐ CFTC  
☐ Foreign Financial Regulatory Authority    ☐ Federal Banking Agency  
☐ National Credit Union Administration    ☐ Other

B. Full name of regulator (if other than the SEC) that initiated the action:

## 2. Sanction(s) Sought (select all that apply):

- |  |  |  |
|--|--|--|
| <input type="checkbox"/> Bar   | <input type="checkbox"/> Cease and Desist                  | <input type="checkbox"/> Censure         |
| <input type="checkbox"/> Civil and Administrative Fines/Penalty(ies) | <input type="checkbox"/> Denial                            | <input type="checkbox"/> Disgorgement    |
| <input type="checkbox"/> Expulsion                                   | <input type="checkbox"/> Monetary Penalty other than Fines |  |
| <input type="checkbox"/> Prohibition                                 | <input type="checkbox"/> Reprimand                         | <input type="checkbox"/> Requalification |
| <input type="checkbox"/> Rescission                                  | <input type="checkbox"/> Restitution                       | <input type="checkbox"/> Undertaking     |
| <input type="checkbox"/> Revocation                                  | <input type="checkbox"/> Suspension                        |  |
| <input type="checkbox"/> Other:                                      | <input type="text"/>                                       |  |

## 3. Date Initiated (MM/DD/YYYY):

☐ Exact    ☐ Explanation

If not exact, provide explanation:

## 4. Docket/Case#:

## 5. Employing Firm when activity occurred which led to the regulatory action:

Continued on Next Page

Continued from Previous Page

## 6. Product Type(s): (select all that apply)

- |  |   |  |
|--|---|--|
| <input type="checkbox"/> No Product                      | <input type="checkbox"/> Derivative                               | <input type="checkbox"/> Mutual Fund                 |
| <input type="checkbox"/> Annuity-Charitable              | <input type="checkbox"/> Direct Investment-DPP & LP Interest      | <input type="checkbox"/> Oil & Gas                   |
| <input type="checkbox"/> Annuity-Fixed                   | <input type="checkbox"/> Equipment Leasing                        | <input type="checkbox"/> Options                     |
| <input type="checkbox"/> Annuity-Variable                | <input type="checkbox"/> Equity Listed (Common & Preferred Stock) | <input type="checkbox"/> Penny Stock                 |
| <input type="checkbox"/> Banking Product (Other than CD) | <input type="checkbox"/> Equity-OTC                               | <input type="checkbox"/> Prime Bank Instrument       |
| <input type="checkbox"/> CD                              | <input type="checkbox"/> Futures-Commodity                        | <input type="checkbox"/> Promissory Note             |
| <input type="checkbox"/> Commodity Option                | <input type="checkbox"/> Futures - Financial                      | <input type="checkbox"/> Real Estate Security        |
| <input type="checkbox"/> Debt-Asset Backed               | <input type="checkbox"/> Index Option                             | <input type="checkbox"/> Security Futures            |
| <input type="checkbox"/> Debt-Corporate                  | <input type="checkbox"/> Insurance                                | <input type="checkbox"/> Unit Investment Trust       |
| <input type="checkbox"/> Debt-Government                 | <input type="checkbox"/> Investment Contract                      | <input type="checkbox"/> Viatical Settlement         |
| <input type="checkbox"/> Debt-Municipal                  | <input type="checkbox"/> Money Market Fund                        | <input type="checkbox"/> Other: <input type="text"/> |

## 7. Describe the allegations related to this regulatory action. (Your information must fit within the space provided.):

8. Current Status? ☐ Pending ☐ On Appeal ☐ Final9. If pending, are there any limitations or restrictions currently in effect? ☐ Yes ☐ NoIf the answer is 'yes', provide details: 

## 10. If on appeal:

## A. Action appealed to:

☐ SEC ☐ SRO ☐ Federal Court ☐ State Agency or Commission ☐ State Court ☐ CFTC ☐ Other: 
B. Date appeal filed (MM/DD/YYYY):  ☐ Exact ☐ ExplanationIf not exact, provide explanation: C. Are there any limitations or restrictions currently in effect while on appeal? ☐ Yes ☐ NoIf the answer is 'yes', provide details: 

If Final or On Appeal, complete all items below. For Pending Actions, complete Item 14 only.

## 11. Resolution Detail:

## A. How was matter resolved (select appropriate item):

- |   |   |                                |
|---|---|--------------------------------|
| <input type="radio"/> Acceptance, Waiver & Consent (AWC)      | <input type="radio"/> Consent                 | <input type="radio"/> Decision |
| <input type="radio"/> Decision & Order of Offer of Settlement | <input type="radio"/> Dismissed               | <input type="radio"/> Order    |
| <input type="radio"/> Settled                                 | <input type="radio"/> Stipulation and Consent | <input type="radio"/> Vacated  |
| <input type="radio"/> Vacated Nunc Pro Tunc / ab initio       | <input type="radio"/> Withdrawn               |                                |
| <input type="radio"/> Other: <input type="text"/>             |   |                                |

B. Resolution Date (MM/DD/YYYY): ☐ Exact ☐ ExplanationIf not exact, provide explanation: 12. Does the order constitute a *final order* based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? ☐ Yes ☐ No

Continued on Next Page

Continued from Previous Page

## 13. Sanction Detail:

A. Were any of the following sanctions ordered? (Select all appropriate items):

- |  |  |
|--|--|
| <input type="checkbox"/> Bar (Permanent)                             | <input type="checkbox"/> Prohibition         |
| <input type="checkbox"/> Bar (Temporary/Time Limited)                | <input type="checkbox"/> Requalification     |
| <input type="checkbox"/> Cease and Desist                            | <input type="checkbox"/> Letter of Reprimand |
| <input type="checkbox"/> Censure                                     | <input type="checkbox"/> Rescission          |
| <input type="checkbox"/> Civil and Administrative Fines/Penalty(ies) | <input type="checkbox"/> Restitution         |
| <input type="checkbox"/> Denial                                      | <input type="checkbox"/> Revocation          |
| <input type="checkbox"/> Disgorgement                                | <input type="checkbox"/> Suspension          |
| <input type="checkbox"/> Expulsion                                   | <input type="checkbox"/> Undertaking         |
| <input type="checkbox"/> Monetary Penalty other than Fines           |  |

B. Other sanctions ordered:

C. If suspended or barred, provide:

Sanction Type	Registration Capacities Affected (e.g., General Securities Principal, Financial Operations Principal, All Capacities, etc.)	Duration (length of time)	Start Date (MM/DD/YYYY):	End Date (MM/DD/YYYY):
<input type="text"/>	<input type="text"/>	<input type="text"/> <input type="radio"/> Exact <input type="radio"/> Explanation If not exact, provide explanation:	<input type="radio"/> Exact <input type="radio"/> Explanation If not exact, provide explanation:	<input type="radio"/> Exact <input type="radio"/> Explanation If not exact, provide explanation:

D. If requalification by exam/retraining was a condition of the sanction, provide:

Requalification Type	Length of time given to requalify/retrain	Type of exam required	Has condition been satisfied?	Explanation
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No	<input type="text"/>

E. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide:

Monetary Related Sanction Type	Total Amount (\$)	Portion Levied against You	Payment Plan	Is Payment Plan Current?	Date Paid by You (MM/DD/YYYY)	Was any portion of penalty waived?
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No	<input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No If yes, amount: \$ <input type="text"/>

14. Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the action, as well as the current status or disposition and/or finding(s). Your information must fit within the space provided.



## UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER

INDIVIDUAL NAME:

SSN:

INDIVIDUAL CRD#:

FIRM CRD#:

## U4 – INVESTIGATION DRP

This Disclosure Reporting Page is an ☐ INITIAL or ☐ AMENDED response to report details for affirmative response(s) to **Question(s) 14G(2)** on Form U4;

Check the question(s) you are responding to, regardless of whether you are answering the question(s) "yes" or amending the answer(s) to "no": ☐ 14G(2)

[Click here to view question text](#)

Complete this DRP only if you are answering "yes" to Item 14G(2). If you answered "yes" to Item 14G(1), complete the Regulatory Action DRP. If you have been notified that the *investigation* has been concluded without formal action, complete items 4 and 5 of this DRP to update. One event may result in more than one *investigation*. If more than one authority is investigating you, use a separate DRP to provide details.

1. *Investigation* initiated by:

A. Notice Received From (select appropriate item):

- ☐ SRO    ☐ Foreign Financial Regulatory Authority    ☐ Jurisdiction  
☐ SEC    ☐ Other Federal Agency  
☐ Other:

B. Full name of regulator (if other than the SEC) that initiated the *investigation*:
2. Notice Date (MM/DD/YYYY):  ☐ Exact ☐ ExplanationIf not exact, provide explanation: 3. Describe briefly the nature of the *investigation*, if known. (Your information must fit within the space provided):
4. Is *investigation* pending? ☐ Yes ☐ No

If no, complete item 5. If yes, skip to item 6.

## 5. Resolution Details:

A. Date Closed/Resolved (MM/DD/YYYY): ☐ Exact ☐ ExplanationIf not exact, provide explanation: B. How was *investigation* resolved? (select appropriate item)

- ☐ Closed Without Further Action  
☐ Closed – Regulatory Action Initiated  
☐ Other:

6. Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the *investigation*, as well as the current status or final disposition and/or finding(s). Your information must fit within the space provided.

[Last Name], [First Name] [Middle Initial]: [CRD Number]

[Firm Name]: [Firm CRD#]

Reference #: [Reference #]

**U4 – Civil Judicial DRP**

This Disclosure Reporting Page is an ☐ **INITIAL** or ☐ **AMENDED** response to report details for affirmative response(s) to **Question(s) 14H** on Form U4;

**Check the question(s) you are responding to, regardless of whether you are answering the question(s) "yes" or amending the answer(s) to "no":**

☐ 14H(1)(a) ☐ 14H(1)(b) ☐ 14H(1)(c) ☐ 14H(2)

[Click here to view question text](#)

One event may result in more than one affirmative answer to the above items. Use only one DRP to report details related to the same event. Unrelated civil judicial actions must be reported on separate DRPs.

**1. Court Action initiated by:**

A. (Select appropriate item):

☐ SEC ☐ Other Federal Agency ☐ Jurisdiction ☐ Foreign Financial Regulatory Authority ☐ Firm ☐ Private Plaintiff

B. Name of party initiating the proceeding:

**2. Relief Sought: (select all that apply)**

☐ Cease and Desist ☐ Monetary Penalty other than Fines  
☐ Civil and Administrative Fines/Penalty(ies) ☐ Restitution  
☐ Disgorgement ☐ Restraining Order  
☐ Injunction ☐ Other:

**3. A. Filing Date of Court Action (MM/DD/YYYY):**


☐ Exact ☐ Explanation

If not exact, provide explanation:

**B. Date notice/process was served (MM/DD/YYYY):**


☐ Exact ☐ Explanation

If not exact, provide explanation:

**4. Product Type(s): (select all that apply)**

<input type="checkbox"/> No Product	<input type="checkbox"/> Debt - Corporate	<input type="checkbox"/> Futures Commodity	<input type="checkbox"/> Options
<input type="checkbox"/> Annuity - Charitable	<input type="checkbox"/> Debt - Government	<input type="checkbox"/> Futures - Financial	<input type="checkbox"/> Penny Stock
<input type="checkbox"/> Annuity - Fixed	<input type="checkbox"/> Debt - Municipal	<input type="checkbox"/> Index Option	<input type="checkbox"/> Prime Bank Instrument
<input type="checkbox"/> Annuity - Variable	<input type="checkbox"/> Derivative	<input type="checkbox"/> Insurance	<input type="checkbox"/> Promissory Note
<input type="checkbox"/> Banking Product (Other than CD)	<input type="checkbox"/> Direct Investment – DPP & LP Interest	<input type="checkbox"/> Investment Contract	<input type="checkbox"/> Real Estate Security
<input type="checkbox"/> CD	<input type="checkbox"/> Equipment Leasing	<input type="checkbox"/> Money Market Fund	<input type="checkbox"/> Security Futures
<input type="checkbox"/> Commodity Option	<input type="checkbox"/> Equity Listed (Common & Preferred Stock)	<input type="checkbox"/> Mutual Fund	<input type="checkbox"/> Unit Investment Trust
<input type="checkbox"/> Debt - Asset Backed	<input type="checkbox"/> Equity - OTC	<input type="checkbox"/> Oil & Gas	<input type="checkbox"/> Viatical Settlement
<input type="checkbox"/> Other	<input type="text"/>		

**5. Formal Action was brought in:**

☐ Federal Court ☐ State Court ☐ Foreign Court ☐ Military Court ☐ Other:

A. Name of Court:

B. Location of Court (City or County and State or Country):

C. Docket/Case#:

Continued on Next Page

Continued from Previous Page

6. Employing *Firm* when activity occurred which led to the civil judicial action:

7. Describe the allegations related to this civil action: (Your information must fit within the space provided.):

8. Current Status?

☐ Pending    ☐ On Appeal    ☐ Final

9. If pending and any limitations or restrictions are currently in effect, provide details:

10. If on appeal:

A. Action appealed to (provide name of court):

B. Court Location:

C. Docket/Case#:

D. Date appeal filed (MM/DD/YYYY):

☐ Exact    ☐ Explanation

If not exact, provide explanation:

E. Appeal details (including status):

F. If on Appeal and any limitations or restrictions are currently in effect, provide details.

If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.

11. Resolution Detail:

A. How was matter resolved: (select appropriate item):

☐ Consent    ☐ Judgment Rendered    ☐ Settled

☐ Vacated    ☐ Vacated Nunc Pro Tunc / ab initio

☐ Dismissed    ☐ Withdrawn

☐ Other:

B. Resolution Date (MM/DD/YYYY):

☐ Exact    ☐ Explanation

If not exact, provide explanation:

Continued on Next Page

Continued from Previous Page

## 12. Sanction Detail:

A. Were any of the following Sanctions Ordered or Relief Granted? (select all that apply):

- ☐ Civil and Administrative Fines/Penalty(ies) ☐ Cease and Desist
- ☐ Disgorgement
- ☐ Monetary Penalty other than Fines
- ☐ Restitution
- ☐ Injunction

B. Other Sanctions: C. If *enjoined*, provide:

ADD

Registration Capacities Affected (e.g., General Securities Principal, Financial Operations Principal, All Capacities, etc.) Duration (length of time)  ☐ Exact ☐ Explanation

If not exact, provide explanation:

Start Date (MM/DD/YYYY):  ☐ Exact ☐ Explanation

If not exact, provide explanation:

End Date (MM/DD/YYYY):  ☐ Exact ☐ Explanation

If not exact, provide explanation:

D. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide:

ADD

Monetary Related Sanction Type  Explanation: Total Amount \$ Portion levied against you \$ Date paid by you (MM/DD/YYYY)  ☐ Exact ☐ Explanation

If not exact, provide explanation:

Was any portion of penalty waived? ☐ Yes ☐ NoIf yes, amount: \$ 

13. Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the action, as well as the current status or final disposition and/or finding(s). Your information must fit within the space provided.

[Last Name], [First Name] [Middle Initial]: [CRD Number]

[Firm Name]: [Firm CRD Number]

Reference#: [Reference Number]

**U4 – Customer Complaint/Arbitration/Civil Litigation DRP**

This Disclosure Reporting Page is an ☐ **INITIAL** or ☐ **AMENDED** response to report details for affirmative response(s) to **Question(s) 14I** on Form U4;

**Check the question(s) you are responding to, regardless of whether you are answering the question(s) "yes" or amending the answer(s) to "no":**

☐ 14I(1)(a)   ☐ 14I(1)(b)   ☐ 14I(1)(c)   ☐ 14I(1)(d)   ☐ 14I(2)(a)   ☐ 14I(2)(b)  
☐ 14I(3)(a)   ☐ 14I(3)(b)   ☐ 14I(4)(a)   ☐ 14I(4)(b)   ☐ 14I(5)(a)   ☐ 14I(5)(b)

[Click here to view question text](#)

One matter may result in more than one affirmative answer to the above items. Use a single DRP to report details relating to a particular matter (i.e., a customer complaint/arbitration/CFTC reparation/civil litigation). Use a separate DRP for each matter.

**DRP Instructions:**

- Complete items 1-6 for all matters (i.e., customer complaints, arbitrations/CFTC reparations and civil litigation in which a customer alleges that you were involved in *sales practice violations* and you are not named as a party, as well as arbitrations/CFTC reparations and civil litigation in which you are named as a party).
- If the matter involves a customer complaint, or an arbitration/CFTC reparation or civil litigation in which a customer alleges that you were involved in *sales practice violations* and you are not named as a party, complete items 7-11 as appropriate.
- If a customer complaint has evolved into an arbitration/CFTC reparation or civil litigation, amend the existing DRP by completing items 9 and 10.
- If the matter involves an arbitration/CFTC reparation in which you are a named party, complete items 12-16, as appropriate.
- If the matter involves a civil litigation in which you are a named party, complete items 17-23.
- Item 24 is an optional field and applies to all event types (i.e., customer complaint, arbitration/CFTC reparation, civil litigation).

**Complete items 1-6 for all matters (i.e., customer complaints, arbitrations/CFTC reparations, civil litigation).**

1. Customer Name(s):

2. A. Customer(s) State of Residence (select "not on list" when the customer's residence is a foreign address):

B. Other state(s) of residence/detail:

3. Employing *Firm* when activities occurred which led to the customer complaint, arbitration, CFTC reparation or civil litigation:

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

5. Product Type: (select all that apply)

- |  |   |  |  |
|--|---|--|--|
| <input type="checkbox"/> No Product                      | <input type="checkbox"/> Debt - Corporate                         | <input type="checkbox"/> Futures Commodity   | <input type="checkbox"/> Options               |
| <input type="checkbox"/> Annuity - Charitable            | <input type="checkbox"/> Debt - Government                        | <input type="checkbox"/> Futures - Financial | <input type="checkbox"/> Penny Stock           |
| <input type="checkbox"/> Annuity - Fixed                 | <input type="checkbox"/> Debt - Municipal                         | <input type="checkbox"/> Index Option        | <input type="checkbox"/> Prime Bank Instrument |
| <input type="checkbox"/> Annuity - Variable              | <input type="checkbox"/> Derivative                               | <input type="checkbox"/> Insurance           | <input type="checkbox"/> Promissory Note       |
| <input type="checkbox"/> Banking Product (Other than CD) | <input type="checkbox"/> Direct Investment – DPP & LP Interest    | <input type="checkbox"/> Investment Contract | <input type="checkbox"/> Real Estate Security  |
| <input type="checkbox"/> CD                              | <input type="checkbox"/> Equipment Leasing                        | <input type="checkbox"/> Money Market Fund   | <input type="checkbox"/> Security Futures      |
| <input type="checkbox"/> Commodity Option                | <input type="checkbox"/> Equity - OTC                             | <input type="checkbox"/> Mutual Fund         | <input type="checkbox"/> Unit Investment Trust |
| <input type="checkbox"/> Debt - Asset Backed             | <input type="checkbox"/> Equity Listed (Common & Preferred Stock) | <input type="checkbox"/> Oil & Gas           | <input type="checkbox"/> Viatical Settlement   |
| <input type="checkbox"/> Other:                          |   |  |  |

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6. Alleged Compensatory Damage Amount: \$  ☐ Exact

☐ Explanation (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):

If the matter involves a customer complaint, arbitration/CFTC reparation or civil litigation in which a customer alleges that you were involved in a *sales practice violation(s)* and you are not named as a party, complete items 7-11 as appropriate.

Note: Report in Items 12-16, or 17-23, as appropriate, only arbitrations/CFTC reparations or civil litigation in which you are named as a party.

7. A. Is this an oral complaint? ☐ Yes ☐ No

B. Is this a written complaint? ☐ Yes ☐ No

C. Is this an arbitration/CFTC reparation or civil litigation? ☐ Yes ☐ No

If yes, provide:

i. Arbitration/reparation forum or court name and location

ii. Docket/Case#

iii. Filing date of arbitration/CFTC reparation or civil litigation

D. Date received by/served on *firm* (MM/DD/YYYY):

☐ Exact ☐ Explanation

If not exact, provide explanation:

8. Is the complaint, arbitration/CFTC reparation or civil litigation pending? ☐ Yes ☐ No

If "no," complete item 9.

9. If the complaint, arbitration/CFTC reparation or civil litigation is not pending, provide status:

☐ Closed/No Action ☐ Withdrawn ☐ Denied ☐ Settled

☐ Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

☐ Arbitration Award/Monetary Judgment (for respondents/defendants)

☐ Evolved into Arbitration/CFTC reparation (you are a named party)

☐ Evolved into Civil litigation (you are a named party)

If status is arbitration/CFTC reparation in which you are not a named party, provide details in item 7C.

If status is arbitration/CFTC reparation in which you are a named party, complete items 12-16;

If status is civil litigation in which you are a named party, complete items 17-23.

10. Status Date (MM/DD/YYYY):

☐ Exact ☐ Explanation

If not exact, provide explanation:

Continued on Next Page

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## 11. Settlement/Award/Monetary Judgment

A. Settlement/Award/Monetary Judgment amount: \$ B. Your Contribution Amount: \$ **If the matter involves an arbitration or CFTC reparation in which you are a named respondent, complete items 12-16, as appropriate.**

## 12.

A. Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): B. Docket/Case#: C. Date notice/process was served (MM/DD/YYYY): ☐ Exact ☐ Explanation

If not exact, provide explanation:

13. Is arbitration/ CFTC reparation pending? ☐ Yes ☐ No

If "no," complete item 14.

14. If the arbitration/CFTC reparation is not pending, what was the disposition?

- ☐ Award to Applicant (Agent/Representative)
 ☐ Award to Customer
 ☐ Denied
 ☐ Dismissed
- ☐ Judgment (other than monetary)
 ☐ No Action
 ☐ Settled
 ☐ Withdrawn
- ☐ Other:

15. Disposition Date (MM/DD/YYYY): ☐ Exact ☐ Explanation

If not exact, provide explanation:

16. Monetary Compensation Details (award, settlement, reparation amount):

A. Total Amount: \$ B. Your Contribution Amount: \$ **If the matter involves a civil litigation in which you are a defendant, complete items 17-23.**

17. Court in which case was filed:

☐ Federal Court
 ☐ State Court
 ☐ Foreign Court
 ☐ Military Court
 ☐ Other: 
A. Name of Court: B. Location of Court (City or County and State or Country): C. Docket/Case#: 

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18. Date notice/process was served (MM/DD/YYYY):

☐ Exact ☐ Explanation

If not exact, provide explanation:

19. Is the civil litigation pending?

☐ Yes ☐ No

If "no," complete item 20.

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

- ☐ Denied ☐ Dismissed ☐ Judgment (other than monetary)  
☐ Monetary Judgment to Applicant (Agent/Representative) ☐ Monetary Judgment to Customer  
☐ No Action ☐ Settled ☐ Withdrawn  
☐ Other:

21. Disposition Date (MM/DD/YYYY):

☐ Exact ☐ Explanation

If not exact, provide explanation:

22. Monetary Compensation Details (judgment, restitution, settlement amount):

A. Total Amount: \$

B. Your Contribution Amount: \$

23. If action is currently on appeal:

A. Enter date appeal filed (MM/DD/YYYY):

☐ Exact ☐ Explanation

If not exact, provide explanation:

B. Court appeal filed in:

☐ Federal Court ☐ State Court ☐ Foreign Court ☐ Military Court ☐ Other: 

i. Name of Court:

ii. Location of Court (City or County and State or Country):

iii. Docket/Case#:

24. Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the customer complaint, arbitration/CFTC reparation and/or civil litigation as well as the current status or final disposition(s). Your information must fit within the space provided.



## UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER

INDIVIDUAL NAME:

SSN:

INDIVIDUAL CRD #:

FIRM CRD #:

## U4 – TERMINATION DRP

This Disclosure Reporting Page is an ☐ INITIAL or ☐ AMENDED response to report details for affirmative response(s) to **Question(s) 14J** on Form U4;

Check the question(s) you are responding to, regardless of whether you are answering the question "yes" or amending the answer to "no":

☐ 14J(1) ☐ 14J(2) ☐ 14J(3)

[Click here to view question text](#)

One event may result in more than one affirmative answer to the above items. Use only one DRP to report details related to the same termination.

1. Firm Name:

2. Termination Type:

3. Termination Date (MM/DD/YYYY):

☐ Exact☐ Explanation

If not exact, provide explanation:

4. Allegation(s):

5. Product Type(s): (select all that apply)

☐ No Product☐ Annuity-Charitable☐ Annuity-Fixed☐ Annuity-Variable☐ Banking Product (Other than CD)☐ CD☐ Commodity Option☐ Debt-Asset Backed☐ Debt-Corporate☐ Debt-Government☐ Debt-Municipal☐ Derivative☐ Direct Investment-DPP & LP Interest☐ Equipment Leasing☐ Equity-OTC☐ Equity Listed (Common & Preferred Stock)☐ Futures-Commodity☐ Futures - Financial☐ Index Option☐ Insurance☐ Investment Contract☐ Money Market Fund☐ Mutual Fund☐ Oil & Gas☐ Options☐ Penny Stock☐ Prime Bank Instrument☐ Promissory Note☐ Real Estate Security☐ Security Futures☐ Unit Investment Trust☐ Viatical Settlement☐ Other:

6. Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the termination. Your information must fit within the space provided.

[Last Name, First Middle]: [CRD Number]

[Firm Name]: [Firm CRD #]

Reference #: [Reference #]

**U4 – BANKRUPTCY / SIPC / COMPROMISE WITH CREDITORS DRP**

This Disclosure Reporting Page is an ☐ **INITIAL** or ☐ **AMENDED** response to report details for affirmative response(s) to *Question(s) 14K* on Form U4;

Check the question(s) you are responding to, regardless of whether you are answering the question(s) "yes" or amending the answer(s) to "no":

**BANKRUPTCY / SIPC / COMPROMISE WITH CREDITORS DRP**

☐ 14K(1) ☐ 14K(2) ☐ 14K(3)

[Click here to view question text](#)

If events result in affirmative answers to both 14K(1) and 14K(2), details to each must be provided on separate DRPs.

1. Action Type: (select appropriate item)

☐ Bankruptcy  Drop down list:  
Chapter 7, Chapter 11, Chapter 13, Other

☐ Compromise ☐ Declaration ☐ Liquidation ☐ Receivership ☐ Other:

2. Action Date (MM/DD/YYYY) (Provide date bankruptcy was filed, or date SIPC was initiated or date of compromise with creditor):   ☐ Exact ☐ Explanation

If not exact, provide explanation:

3. If the financial action relates to an organization of which you exercise(d) control, provide:

A. Organization Name:

B. Position, title or relationship:

C. Investment-related business? ☐ Yes ☐ No

4. Court action brought in:

☐ Federal ☐ State Court ☐ Foreign Court ☐ Other:

A. Name of Court:

B. Location of Court (City or County and State or Country):

C. Docket/Case#:

☐ Check this box if the Docket/Case# is your SSN, a Bank Card number, or a Personal Identification Number.

5. Is action currently pending? ☐ Yes ☐ No

Continued on next tab...

☐ Direct Payment Procedure   
 ☐ Discharged   
 ☐ Dismissed  
☐ Dissolved   
 ☐ SIPA Trustee Appointed   
 ☐ Satisfied/Released  
☐ Other:

☐ Exact ☐ Explanation

\_\_\_\_\_

A. Name of Creditor:

B. Original amount owed: \$

C. Terms/Compromise reached with creditor:

A. Provide the amount paid or agreed to be paid by you: \$  ; or

The name of the Trustee:

C. Date Direct Payment Initiated/Filed or Trustee Appointed (MM/DD/YYYY):

☐ Exact    ☐ Explanation

If not exact, provide explanation:

10. Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the action as well as the current status or final disposition. Your information must fit within the space provided.

[illegible]

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&lt;Last Name, First Name&gt;: &lt;Indvl CRD#&gt;

Firm Name: &lt;Firm CRD #&gt;

Reference #: &lt;Reference #&gt;

## U4 – BOND DRP

This Disclosure Reporting Page is an **INITIAL** or **AMENDED** response to report details for affirmative response(s) to **Question(s) 14L** on Form U4;

Check the question(s) you are responding to, regardless of whether you are answering the question(s) "yes" or amending the answer(s) to "no":

☐ 14L

[Click here to view question text](#)

If multiple, unrelated events result in the same affirmative answer, details must be provided on separate DRPs.

1. Firm Name: (Policy Holder)

2. Bonding Company Name:

3. Disposition Type:

☐ Disposition 1 job

☐ Denied

☐ Payout

☐ Revoked

4. Disposition Date (MM/DD/YYYY):


☐

Exact

☐

Explanation

If not exact, provide explanation:

5. If disposition resulted in Payout:

A. Payout Amount: \$

B. Date Paid:


☐

Exact

☐

Explanation

If not exact, provide explanation:

6. Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the action as well as the current status or final disposition. Your information must fit within the space provided.

## UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER

&lt;Individual Name&gt;: &lt;Individual CRD number&gt;

&lt;Firm Name&gt;: &lt;Firm CRD #&gt;

Reference #: &lt;Reference Number&gt;

## U4 – JUDGMENT/LIEN DRP

This Disclosure Reporting Page is an ☐ INITIAL or ☐ AMENDED response to report details for affirmative response(s) to **Question(s) 14M** on Form U4;

Check the question(s) you are responding to, regardless of whether you are answering the question(s) "yes" or amending the answer(s) to "no": ☐ 14M

[Click here to view question text](#)

If multiple, unrelated events result in the same affirmative answer, details must be provided on separate DRPs.

1. Judgment/Lien Amount: \$

2. Judgment/Lien Holder:

3. Judgment/Lien Type: ☐ Civil ☐ Tax

4. Date Filed (MM/DD/YYYY):   ☐ Exact ☐ Explanation

If not exact, provide explanation:

5. Court action brought in:

☐ Federal Court ☐ State Court ☐ Foreign Court ☐ Other:

A. Name of Court:

B. Location of Court (City or County and State or Country):

C. Docket/Case#:

☐ Check this box if the Docket/Case# is your SSN, a Bank Card number, or a Personal Identification Number.

6. Is the Judgment/Lien Outstanding? ☐ Yes ☐ No

If "no", complete item 7. If "yes", skip to item 8.

7. If Judgment/Lien is **not** outstanding, provide:

A. Status Date (MM/DD/YYYY):   ☐ Exact ☐ Explanation

If not exact, provide explanation:

B. How was matter resolved? (select appropriate item):

☐ Discharged ☐ Released ☐ Removed ☐ Satisfied

8. Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the action as well as the current status or final disposition. Your information must fit within the space provided.

	 
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