

Individual/Agent Questionnaire

PERSONAL INFORMATION

Full Name : _____ SS#: _____
(Last, First, Middle)

Other Names Used: _____ CRD #: _____
(include all names used, including maiden)

Date of Birth: _____ City/State/Country where born: _____

Sex: ___ M ___ F Height: _____ Weight: _____ Hair Color: _____ Eye Color: _____

EDUCATION BACKGROUND

High School: Name, City, State: _____
Years Attended: From: ____/____/____ To: ____/____/____ Year Graduated: _____

College: Name, City, State: _____
Years Attended: From: ____/____/____ To: ____/____/____ Year Graduated: _____
Degree: _____ Major: _____

College: Name, City, State: _____
Years Attended: From: ____/____/____ To: ____/____/____ Year Graduated: _____
Degree: _____ Major: _____

SECURITIES INDUSTRY EXAMS AND PROFESSIONAL DESIGNATIONS EARNED

<u>Exam</u>	<u>Date Passed</u>	<u>Professional Designation</u>	<u>Date Received</u>
___ Series 7	___/___/___	___ CFA	___/___/___
___ Series 24	___/___/___	___ ChFC	___/___/___
___ Series 63	___/___/___	___ CFP	___/___/___
___ Series 65	___/___/___	___ PFS	___/___/___
___ Series 66	___/___/___	___ CIC	___/___/___

Other Exams/Designations: _____

BUSINESS BACKGROUND

- Percentage of your ownership in the investment adviser firm: _____%
- Are you an independent contractor for the investment adviser firm? ___ No ___ Yes
- Address from which you will be regularly conducting business or communicating with clients:

- Business e-mail address: _____
- Business phone and fax numbers: (Phone) _____ (Fax) _____

RESIDENTIAL HISTORY

Starting with your current address, give all addresses for the past 5 years.

[illegible]

EMPLOYMENT HISTORY

Provide employment history for the past 10 years. Include the current investment adviser firm you are affiliated with or applying for registration. Account for all time including full and part-time employments, self-employment, military service, homemaking. Also include statuses such as unemployed, full-time education, extended travel, or other similar statuses.

[illegible]

OTHER BUSINESS ACTIVITY

If you are **currently** engaged in any other business either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise, provide the following details for each business. Please exclude non investment-related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

Other Business 1:

- Name of the other business: _____
- Whether the business is *investment-related*: _____
- Address of the other business: _____
- Nature of the other business: _____
- Your position, title, or relationship with the other business: _____
- Start date of your relationship: _____
- Approximate number of hours/month you devote to the other business: _____
- Number of hours you devote to the other business during securities trading hours: _____
- Briefly describe your duties relating to the other business: _____

Other Business 2:

- Name of the other business: _____
- Whether the business is *investment-related*: _____
- Address of the other business: _____
- Nature of the other business: _____
- Your position, title, or relationship with the other business: _____
- Start date of your relationship: _____
- Approximate number of hours/month you devote to the other business: _____
- Number of hours you devote to the other business during securities trading hours: _____
- Briefly describe your duties relating to the other business: _____

Other Business 3:

- Name of the other business: _____
- Whether the business is *investment-related*: _____
- Address of the other business: _____
- Nature of the other business: _____
- Your position, title, or relationship with the other business: _____
- Start date of your relationship: _____
- Approximate number of hours/month you devote to the other business: _____
- Number of hours you devote to the other business during securities trading hours: _____
- Briefly describe your duties relating to the other business: _____

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 U4 INSTRUCTIONS FOR EXPLANATIONS OF ITALICIZED TERMS.		
	YES	NO
Criminal Disclosure		
14A. (1) Have you ever: (a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any <i>felony</i> ? (b) been <i>charged</i> with any <i>felony</i> ? (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 any <i>felony</i> ? (b) been <i>charged</i> with any <i>felony</i> ?	<input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/>	<input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/>
14B. (1) Have you ever: (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 statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses? (b) been <i>charged</i> with a <i>misdemeanor</i> 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 <i>misdemeanor</i> specified in 14B(1)(a)? (b) been <i>charged</i> with a <i>misdemeanor</i> specified in 14B(1)(a)?	<input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/>	<input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/>
Regulatory Action Disclosure	YES	NO
14C. Has the U.S. Securities and Exchange Commission or the Commodity Futures Trading Commission ever: (1) <i>found</i> you to have made a false statement or omission? (2) <i>found</i> you to have been <i>involved</i> in a violation of its regulations or statutes? (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? (4) entered an <i>order</i> against you in connection with <i>investment-related</i> activity? (5) imposed a civil money penalty on you, or <i>ordered</i> you to cease and desist from any activity? (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? (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? (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 of the Municipal Securities Rulemaking Board?	<input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/>	<input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/>
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? (b) <i>found</i> you to have been <i>involved</i> in a violation of <i>investment-related</i> regulation(s) or statute(s)? (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? (d) entered an <i>order</i> against you in connection with an <i>investment-related</i> activity? (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"/> <input type="radio"/> <input type="radio"/> <input type="radio"/>	<input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/>

INDIVIDUAL NAME:	INDIVIDUAL CRD #:
FIRM NAME:	FIRM CRD #:

14. DISCLOSURE QUESTIONS (CONTINUED)

	YES	NO
(2) Have you been subject to any <i>final order</i> of a state securities commission (or any agency or office 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 <i>federal banking agency</i> , 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 fraudulent, manipulative, or deceptive conduct?	<input type="radio"/>	<input type="radio"/>
14E. Has any self-regulatory organization ever:		
(1) found you to have made a false statement or omission?	<input type="radio"/>	<input type="radio"/>
(2) found you to have been involved in a violation of its rules (other than a violation designated as a "minor rule violation" under a plan approved by the U.S. Securities and Exchange Commission)?	<input type="radio"/>	<input type="radio"/>
(3) found you to have been the cause of an investment-related 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) found 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 found you to have been unable to comply with any provision of such Act, rule or regulation?	<input type="radio"/>	<input type="radio"/>
(6) 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?	<input type="radio"/>	<input type="radio"/>
(7) 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?	<input type="radio"/>	<input type="radio"/>
14F. Have you ever had an authorization to act as an attorney, accountant or federal contractor that was revoked or suspended?	<input type="radio"/>	<input type="radio"/>
14G. Have you been notified, in writing, that you are now the subject of any:		
(1) regulatory complaint or proceeding that could result in a "yes" answer to any part of 14C, D or E? (<i>If "yes", complete the Regulatory Action Disclosure Reporting Page.</i>)	<input type="radio"/>	<input type="radio"/>
(2) investigation that could result in a "yes" answer to any part of 14A, B, C, D or E? (<i>If "yes", complete the Investigation Disclosure Reporting Page.</i>)	<input type="radio"/>	<input type="radio"/>
Civil Judicial Disclosure	YES	NO
14H. (1) Has any domestic or foreign court ever:		
(a) enjoined you in connection with any investment-related activity?	<input type="radio"/>	<input type="radio"/>
(b) found that you were involved in a violation of any investment-related statute(s) or regulation(s)?	<input type="radio"/>	<input type="radio"/>
(c) dismissed, pursuant to a settlement agreement, an investment-related civil action brought against you by a state or foreign financial regulatory authority?	<input type="radio"/>	<input type="radio"/>
(2) Are you named in any pending investment-related civil action that could result in a "yes" answer to any part of 14H(1)?	<input type="radio"/>	<input type="radio"/>
Customer Complaint/Arbitration/Civil Litigation Disclosure	YES	NO
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:		
(a) is still pending, or;	<input type="radio"/>	<input type="radio"/>
(b) resulted in an arbitration award or civil judgment against you, regardless of amount, or;	<input type="radio"/>	<input type="radio"/>
(c) was settled, prior to 05/18/2009, for an amount of \$10,000 or more, or;	<input type="radio"/>	<input type="radio"/>
(d) was settled, on or after 05/18/2009, for an amount of \$15,000 or more?	<input type="radio"/>	<input type="radio"/>

INDIVIDUAL NAME:	INDIVIDUAL CRD #:
FIRM NAME:	FIRM CRD #:

14. DISCLOSURE QUESTIONS (CONTINUED)		YES	NO
<p>(2) Have you ever been the subject of an <i>investment-related</i>, consumer-initiated (written or oral) complaint, which alleged that you were <i>involved</i> in one or more <i>sales practice violations</i>, and which:</p> <p>(a) was settled, prior to 05/18/2009, for an amount of \$10,000 or more, or;</p> <p>(b) was settled, on or after 05/18/2009, for an amount of \$15,000 or more?</p>		<input type="radio"/> <input type="radio"/>	<input type="radio"/> <input type="radio"/>
<p>(3) Within the past twenty four (24) months, have you been the subject of an <i>investment-related</i>, consumer-initiated, written complaint, not otherwise reported under question 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 <i>firm</i> 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>		<input type="radio"/> <input type="radio"/>	<input type="radio"/> <input type="radio"/>
Answer questions (4) and (5) below only for arbitration claims or civil litigation filed on or after 05/18/2009.			
<p>(4) Have you ever been the subject of an <i>investment-related</i>, consumer-initiated arbitration claim or civil litigation which alleged that you were <i>involved</i> in one or more <i>sales practice violations</i>, and which:</p> <p>(a) was settled for an amount of \$15,000 or more, or;</p> <p>(b) resulted in an arbitration award or civil judgment against any named respondent(s)/defendant(s), regardless of amount?</p>		<input type="radio"/> <input type="radio"/>	<input type="radio"/> <input type="radio"/>
<p>(5) Within the past twenty four (24) months, have you been the subject of an <i>investment-related</i>, consumer-initiated arbitration claim or civil litigation not otherwise reported under question 14I(4) 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 arbitration claim or civil litigation must be reported unless the <i>firm</i> 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>		<input type="radio"/> <input type="radio"/>	<input type="radio"/> <input type="radio"/>
Termination Disclosure		YES	NO
<p>14J. Have you ever voluntarily <i>resigned</i>, been discharged or permitted to <i>resign</i> after allegations were made that accused you of:</p> <p>(1) violating <i>investment-related</i> statutes, regulations, rules, or industry standards of conduct?</p> <p>(2) fraud or the wrongful taking of property?</p> <p>(3) failure to supervise in connection with <i>investment-related</i> statutes, regulations, rules or industry standards of conduct?</p>		<input type="radio"/> <input type="radio"/> <input type="radio"/>	<input type="radio"/> <input type="radio"/> <input type="radio"/>
Financial Disclosure		YES	NO
<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 <i>control</i> 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 <i>control</i> 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>		<input type="radio"/> <input type="radio"/> <input type="radio"/>	<input type="radio"/> <input type="radio"/> <input type="radio"/>
14L. Has a bonding company ever denied, paid out on, or revoked a bond for you?		<input type="radio"/>	<input type="radio"/>
14M. Do you have any unsatisfied judgments or liens against you?		<input type="radio"/>	<input type="radio"/>

Additional information required for Form ADV Part 2B (Brochure Supplement)

1. Have you ever been the subject of a bankruptcy petition?

☐ Yes ☐ No

If yes, provide:

Date the petition was first brought: _____

Bankruptcy type: ☐ Chapter 7 ☐ Chapter 11
☐ Chapter 13 ☐ Other _____

Current status: ☐ Pending ☐ Discharged ☐ Dismissed
☐ Dissolved ☐ Direct Payment Procedure
☐ Satisfied/Released ☐ SIPA Trustee Appointed
☐ Other _____

2. Have you ever been involved in any event listed below? If so, provide all material facts regarding such event. (Note: if this information is already disclosed on the individual's Form U4 we can reference that the disclosure information can be found on the Investment Adviser Public Disclosure website rather than repeating it in the brochure supplement.)

An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:

☐ Yes ☐ No an investment or an investment-related business or activity?

☐ Yes ☐ No fraud, false statement(s) or omissions?

☐ Yes ☐ No theft, embezzlement, or other wrongful taking of property?

☐ Yes ☐ No bribery, forgery, counterfeiting, or extortion?

☐ Yes ☐ No dishonest, unfair, or unethical practices?

An award or otherwise being found liable in a civil, self-regulatory organization or administrative proceeding involving any of the following:

☐ Yes ☐ No an investment or an investment-related business or activity?

☐ Yes ☐ No fraud, false statement(s) or omissions?

☐ Yes ☐ No theft, embezzlement, or other wrongful taking of property?

☐ Yes ☐ No bribery, forgery, counterfeiting, or extortion?

☐ Yes ☐ No dishonest, unfair, or unethical practices?

3. Other Business Activities: Are you actively engaged in any business or occupation for compensation that involves a substantial source of your income or time? If the other business activity represents less than 10% of your time and income, you may presume it is not substantial.