

Form BD

OMB APPROVAL	
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Estimated average burden hours per response.....	2.75
per amendment	0.33

Uniform Application for Broker-Dealer Registration

FORM BD INSTRUCTIONS

A. GENERAL INSTRUCTIONS

1. Form BD is the Uniform Application for Broker-Dealer Registration. Broker-Dealers must file this form to register with the Securities and Exchange Commission, the *self-regulatory organizations*, and *jurisdictions* through the Central Registration Depository ("CRD") system, operated by FINRA.
2. **UPDATING** – By law, the *applicant* must promptly update Form BD information by submitting amendments whenever the information on file becomes inaccurate or incomplete for any reason.
3. **CONTACT EMPLOYEE** – The individual listed as the contact employee must be authorized to receive all compliance information, communications, and mailings, and be responsible for disseminating it within the *applicant's* organization.
4. **GOVERNMENT SECURITIES ACTIVITIES**
 - A. Broker-dealers registered or *applicants* applying for registration under Section 15(b) of the Exchange Act that conduct (or intend to conduct) a government securities business in addition to other broker-dealer activities (if any) must file a notice on Form BD by answering "yes" to Item 2B.
 - B. Section 15C of the Securities Exchange Act of 1934 requires sole government securities broker-dealers to register with the SEC. To do so, answer "yes" to Item 2C if conducting *only* a government securities business.
 - C. Broker-dealers registered under Section 15(b) of the Exchange Act that cease to conduct a government securities business must file notice when ceasing their activities in government securities. To do so, file an amendment to Form BD and answer "yes" to Item 2D.

NOTE: Broker-dealers registered under Section 15C may register under Section 15(b) by filing an amendment to Form BD and answering "yes" to Items 2A and 2D. By doing so, broker-dealer expressly consents to withdrawal of broker-dealer's registration under 15C of the Exchange Act.

5. **FEDERAL INFORMATION LAW AND REQUIREMENTS** – An agency may not conduct or sponsor, and a *person* is not required to respond to, a collection of information unless it displays a currently valid control number. Section 15, 15B, 15C, 17(a) and 23(a) of the Exchange Act authorize the Commission to collect the information on this Form from registrants. See 15 U.S.C. 78o, 78o-4, 78o-5, 78-q and 78w. Filing of this Form is mandatory; however the social security number information, which aids in identifying the *applicant*, is voluntary. The principal purpose of this Form is to permit the Commission to determine whether the *applicant* meets the statutory requirement to engage in the securities business. The Form also is used by *applicants* to register as broker-dealers with certain *self-regulatory organizations* and all of the states. The Commission and the Financial Industry Regulatory Authority, Inc. maintain the files of the information on this Form and will make the information publicly available. Any member of the public may direct to the Commission any comments concerning the accuracy of the burden estimate on application facing page of this Form, and any suggestions for reducing this burden. This collection of information has been reviewed by the Office of Management and Budget in accordance with the clearance requirements of 44 U.S.C. §3507. The information contained in this form is part of a system of records subject to the Privacy Act of 1974, as amended. The Securities and Exchange Commission has published in the Federal Register the Privacy Act Systems of Records Notice for these records.

B. PAPER FILING INSTRUCTIONS (FIRST TIME APPLICANTS FILING WITH CRD AND WITH SOME JURISDICTIONS)

1. FORMAT

- A. A full paper Form BD is required when the *applicant* is filing with the CRD for the first time. In addition, some *jurisdictions* may require a separate paper filing of Form BD. The *applicant* should contact the appropriate *jurisdiction(s)* for specific filing requirements.
 - B. Attach an Execution Page (Page 1) with original manual signatures to the initial Form BD filing.
 - C. Type all information.
 - D. Give the name of the broker-dealer and date on each page.
 - E. Use only the current version of Form BD and its Schedules or a reproduction of them.
2. **DISCLOSURE REPORTING PAGE (DRP)** – Information concerning the *applicant* or *control affiliate* that relates to the occurrence of an event reportable under Item 11 must be provided on the *applicant's* appropriate DRP(BD). If a *control affiliate* is an individual or organization registered through the CRD, such *control affiliate* need only complete Part I of the *applicant's* appropriate DRP(BD). Details of the event must be submitted on the *control affiliate's* appropriate DRP(BD) or DRP(U-4). Attach a copy of the fully completed DRP(BD), or DRP(U-4) previously submitted. If a *control affiliate* is an individual or organization not registered through the CRD, provide complete answers to all of the items on the *applicant's* appropriate DRP(BD).
 3. **SCHEDULES A, B AND C** – File Schedules A and B only with initial applications for registration. Use Schedule C to update Schedules A and B. Individuals not required to file a Form U-4 (individual registration) with the CRD system who are listed on Schedules A, B, or C must attach page 2 of Form U-4. The *applicant* broker-dealer must be listed in Form U-4 Item 20 or 21. Signatures are not required.
 4. **SCHEDULE D** – Schedule D provides additional space for explaining answers to Item 1C(2), and "yes" answers to items 5, 7, 8, 9, 10, 12, and 13 of Form BD.

C. ELECTRONIC FILING INSTRUCTIONS (APPLICANTS/ REGISTERED BROKER-DEALERS FILING AMENDMENTS WITH CRD)

1. FORMAT

- A. Items 1-13 must be answered and all fields requiring a response must be completed before the filing will be accepted.

- B. *Applicant* must complete the execution screen certifying that Form BD and amendments thereto have been executed properly and that the information contained therein is accurate and complete.
 - C. To amend information, *applicant* must update the appropriate Form BD screens.
 - D. A paper copy, with original manual signatures, of the initial Form BD filing and amendments to Disclosure Reporting Pages (DRPs BD) must be retained by the *applicant* and be made available for inspection upon a regulatory request.
2. **DISCLOSURE REPORTING PAGE (DRP)** – Information concerning the *applicant* or *control affiliate* that relates to the occurrence of an event reportable under Item 11 must be provided on the *applicant's* appropriate DRP(BD). If a *control affiliate* is an individual or organization registered through the CRD, such *control affiliate* need only complete the *control affiliate* name and CRD number of the *applicant's* appropriate DRP(BD). Details for the event must be submitted on the *control affiliate's* appropriate DRP(BD) or DRP(U-4). If a *control affiliate* is an individual or organization not registered through the CRD, provide complete answers to all of the questions and complete all fields requiring a response on the *applicant's* appropriate DRP(BD) screen.
3. **DIRECT AND INDIRECT OWNERS** – Amend the Direct Owners and Executive Officers screen and the Indirect Owners screen when changes in ownership occur. *Control affiliates* that are individuals who are not required to file a Form U-4 (individual registration) with the CRD must complete page 2 of Form U-4 (i.e., submit/file the information elicited by the Personal Data, Residential History, and Employment and Personal History sections of that Form). The *applicant* broker-dealer must be listed in Form U-4 Item 20 or 21.

The CRD mailing address for questions and correspondence is:

NASAA/FINRA CENTRAL REGISTRATION DEPOSITORY
P.O. BOX 9495
GAITHERSBURG, MD 20898-9495

EXPLANATION OF TERMS

(The following terms are italicized throughout this form.)

1. GENERAL

APPLICANT – The broker-dealer applying on or amending this form.

CONTROL – The power, directly or indirectly, to direct the management or policies of a company, whether through ownership of securities, by contract, or otherwise. Any *person* that (i) is a director, general partner or officer exercising executive responsibility (or having similar status or functions); (ii) directly or indirectly has the right to vote 25% or more of a class of a voting security or has the power to sell or direct the sale of 25% or more of a class of voting securities; or (iii) in the case of a partnership, has the right to receive upon dissolution, or has contributed, 25% or more of the capital, is presumed to control that company. (This definition is used solely for the purpose of Form BD.)

JURISDICTION – A state, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, or any subdivision or regulatory body thereof.

PERSON – An individual, partnership, corporation, trust, or other organization.

SELF-REGULATORY ORGANIZATION – Any national securities or commodities exchange or registered securities association, or registered clearing agency.

2. FOR THE PURPOSE OF ITEM 5 AND SCHEDULE D

SUCCESSOR - An unregistered entity that assumes or acquires substantially all of the assets and liabilities, and that continues the business of, a registered predecessor broker-dealer, who ceases its broker-dealer activities. [See Securities Exchange Act Release No. 31661 (December 28, 1992), 58 FR 7 (January 4, 1993)]

3. FOR THE PURPOSE OF ITEM 11 AND THE CORRESPONDING DISCLOSURE REPORTING PAGES (DRPs)

CONTROL AFFILIATE – A *person* named in Items 1A, 9 or in Schedules A, B or C as a *control* person or any other individual or organization that directly or indirectly controls, is under common control with, or is controlled by, the *applicant*, including any current employee except one performing only clerical, administrative, support or similar functions, or who, regardless of title, performs no executive duties or has no senior policy making authority.

INVESTMENT OR INVESTMENT-RELATED – Pertaining to securities, commodities, banking, insurance, or real estate (including, but not limited to, acting as or being associated with a broker-dealer, municipal securities dealer, government securities broker or dealer, issuer, investment company, investment adviser, futures sponsor, bank, or savings association).

INVOLVED – Doing an act or aiding, abetting, counseling, commanding, inducing, conspiring with or failing reasonably to supervise another in doing an act.

FOREIGN FINANCIAL REGULATORY AUTHORITY – Includes (1) a foreign securities authority; (2) other governmental body or foreign equivalent of a *self-regulatory organization* empowered by a foreign government to administer or enforce its laws relating to the regulation of *investment* or *investment-related* activities; and (3) a foreign membership organization, a function of which is to

regulate the participation of its members in the activities listed above.

PROCEEDING – Includes a formal administrative or civil action initiated by a governmental agency, *self-regulatory organization* or a *foreign financial regulatory authority*; a *felony* criminal indictment or information (or equivalent formal charge); or a *misdemeanor* criminal information (or equivalent formal charge). Does not include other civil litigation, investigations, or arrests or similar charges effected in the absence of a formal criminal indictment or information (or equivalent formal charge).

CHARGED – Being accused of a crime in a formal complaint, information, or indictment (or equivalent formal charge).

ORDER – A written directive issued pursuant to statutory authority and procedures, including orders of denial, suspension, or revocation; does not include special stipulations, undertakings or agreements relating to payments, limitations on activity or other restrictions unless they are included in an *order*.

FELONY – For *jurisdictions* that do not differentiate between a *felony* and a *misdemeanor*, a *felony* is an offense punishable by a sentence of at least one year imprisonment and/or a fine of at least \$1,000. The term also includes a general court martial.

MISDEMEANOR – For *jurisdictions* that do not differentiate between a *felony* and a *misdemeanor*, a *misdemeanor* is an offense punishable by a sentence of less than one year imprisonment and/or a fine of less than \$1,000. The term also includes a special court martial.

FOUND – Includes adverse final actions, including consent decrees in which the respondent has neither admitted nor denied the findings, but does not include agreements, deficiency letters, examination reports, memoranda of understanding, letters of caution, admonishments, and similar informal resolutions of matters.

MINOR RULE VIOLATION – A violation of a *self-regulatory organization* rule that has been designated as “minor” pursuant to a plan approved by the U.S. Securities and Exchange Commission. A rule violation may be designated as “minor” under a plan if the sanction imposed consists of a fine of \$2,500 or less, and if the sanctioned person does not contest the fine. (Check with the appropriate *self-regulatory organization* to determine if a particular rule violation has been designated as “minor” for these purposes).

ENJOINED – Includes being subject to a mandatory injunction, prohibitory injunction, preliminary injunction, or a temporary restraining order.

FORM BD PAGE 1 (Execution Page)	UNIFORM APPLICATION FOR BROKER-DEALER REGISTRATION	OFFICIAL USE	OFFICIAL USE ONLY
	Date: _____ SEC File No: 8- _____ Firm CRD No.: _____		

WARNING: Failure to keep this form current and to file accurate supplementary information on a timely basis, or the failure to keep accurate books and records or otherwise to comply with the provisions of law applying to the conduct of business as a broker-dealer would violate the Federal securities laws and the laws of the *jurisdictions* and may result in disciplinary, administrative, injunctive or criminal action.
INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACTS MAY CONSTITUTE CRIMINAL VIOLATIONS.

☐ APPLICATION	☐ AMENDMENT
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1. Exact name, principal business address, mailing address, if different, and telephone number of *applicant*:

A. Full name of *applicant* (if sole proprietor, state last, first and middle name): _____

B. IRS Empl. Ident. No.: _____

C. (1) Name under which broker-dealer business primarily is conducted, if different from Item 1A. _____

(2) List on Schedule D, Page1, Section I any other name by which the firm conducts business and where it is used. _____

D. If this filing makes a name change on behalf of the *applicant*, enter the new name and specify whether the name change is of the ☐ *applicant* name (1A) or ☐ business name (1C):
Please check above. _____

E. Firm main address: (Do not use a P.O. Box)

(Number and Street) (City) (State/Country) (Zip+4/Postal Code)

Branch offices or other business locations must be reported on Schedule E.

F. Mailing address, if different: _____

G. Business Telephone Number:

(Area Code) (Telephone Number)

H. Contact Employee:

(Name and Title) (Area Code) (Telephone Number)

EXECUTION:

For the purposes of complying with the laws of the State(s) designated in Item 2 relating to either the offer or sale of securities or commodities, the undersigned and *applicant* hereby certify that the *applicant* is in compliance with applicable state surety bonding requirements and irrevocably appoint the administrator of each of those State(s) or such other person designated by law, and the successors in such office, attorney for the *applicant* in said State(s), upon whom may be served any notice, process, or pleading in any action or *proceeding* against the *applicant* arising out of or in connection with the offer or sale of securities or commodities, or out of the violation or alleged violation of the laws of those State(s), and the *applicant* hereby consents that any such action or *proceeding* against the *applicant* may be commenced in any court of competent jurisdiction and proper venue within said State(s) by service of process upon said appointee with the same effect as if *applicant* were a resident in said State(s) and had lawfully been served with process in said State(s).

The *applicant* consents that service of any civil action brought by or notice of any *proceeding* before the Securities and Exchange Commission or any *self-regulatory organization* in connection with the *applicant's* broker-dealer activities, or of any application for a protective decree filed by the Securities Investor Protection Corporation, may be given by registered or certified mail or confirmed telegram to the *applicant's* contact employee at the main address, or mailing address if different, given in Items 1E and 1F.

The undersigned, being first duly sworn, deposes and says that he/she has executed this form on behalf of, and with the authority of, said *applicant*. The undersigned and *applicant* represent that the information and statements contained herein, including exhibits attached hereto, and other information filed herewith, all of which are made a part hereof, are current, true and complete. The undersigned and *applicant* further represent that to the extent any information previously submitted is not amended such information is currently accurate and complete.

Date (MM/DD/YYYY) Name of Applicant

By: _____
Signature Print Name and Title

Subscribed and sworn before me this _____ day of _____, _____ by _____
Year Notary Public

My Commission expires _____ County of _____ State of _____

**This page must always be completed in full with original, manual signature and notarization.
To amend, circle items being amended. Affix notary stamp or seal where applicable.**

DO NOT WRITE BELOW THIS LINE - FOR OFFICIAL USE ONLY

FORM BD PAGE 2		Applicant Name: _____ Date: _____		Firm CRD No.: _____		OFFICIAL USE		OFFICIAL USE ONLY																																																								
2. Indicate by checking the appropriate box(es) each governmental authority, organization, or <i>jurisdiction</i> in which the <i>applicant</i> is registered or registering as a broker-dealer.																																																																
If <i>applicant</i> is registered or registering with the SEC, check here and answer Items 2A through 2D below. ☐																																																																
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A. Is <i>applicant</i> registered or registering as a broker-dealer under Section 15(b) or Section 15B of the Securities Exchange Act of 1934?																																																																
B. Is <i>applicant</i> registered or registering as a broker-dealer under Section 15(b) of the Securities Exchange Act of 1934 and also acting or intending to act as a government securities broker or dealer?																																																																
C. Is <i>applicant</i> registered or registering <u>solely</u> as a government securities broker or dealer under Section 15C of the Securities Exchange Act of 1934?																																																																
Do not answer "yes" to Item 2C if <i>applicant</i> answered "yes" to Item 2A or Item 2B.																																																																
D. Is <i>applicant</i> ceasing its activities as a government securities broker or dealer?																																																																
If <i>applicant</i> answers "yes" to Items 2A and 2D, <i>applicant</i> expressly consents to the withdrawal of its registration as a government securities broker or dealer under Section 15C of the Securities Exchange Act of 1934. See "Instructions."																																																																
SRO ☐ AMEX ☐ BSE ☐ CBOE ☐ CHX ☐ NSX ☐ FINRA ☐ NQX ☐ NYSE ☐ PHLX ☐ ARCA ☐ ISE ☐ OTHER (specify) _____																																																																
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3. A. Indicate legal status of <i>applicant</i> . ☐ Corporation ☐ Sole Proprietorship ☐ Other (specify) _____ ☐ Partnership ☐ Limited Liability Company																																																																
B. Month <i>applicant's</i> fiscal year ends: _____																																																																
C. If other than a sole proprietor, indicate date and place <i>applicant</i> obtained its legal status (i.e., state or country where incorporated, where partnership agreement was filed, or where <i>applicant</i> entity was formed): State/Country of formation: _____ Date of formation: _____ (MM/DD/YYYY)																																																																
Schedule A and, if applicable, Schedule B must be completed as part of all initial applications. Amendments to these schedules must be provided on Schedule C.																																																																
4. If <i>applicant</i> is a sole proprietor, state full residence address and Social Security Number. Social Security Number: _____ _____ (Number and Street) (City) (State/Country) (Zip + 4/Postal Code)																																																																
5. Is <i>applicant</i> at the time of this filing <i>succeeding</i> to the business of a currently registered broker-dealer? ☐ YES ☐ NO Do not report previous successions already reported on Form BD. If "Yes," contact CRD prior to submitting form; complete appropriate items on Schedule D, Page 1, Section III.																																																																
6. Does <i>applicant</i> hold or maintain any funds or securities or provide clearing services for any other broker or dealer? ... ☐ ☐																																																																
7. Does <i>applicant</i> refer or introduce customers to any other broker or dealer? ☐ ☐ If "Yes," complete appropriate items on Schedule D, Page 1, Section IV.																																																																

FORM BD PAGE 3		Applicant Name: _____ Date: _____ Firm CRD No.: _____		OFFICIAL USE	OFFICIAL USE ONLY
8. Does <i>applicant</i> have any arrangement with any other <i>person</i>, firm, or organization under which: A. any books or records of <i>applicant</i> are kept or maintained by such other <i>person</i>, firm or organization? B. accounts, funds, or securities of the <i>applicant</i> are held or maintained by such other <i>person</i>, firm, or organization? C. accounts, funds, or securities of customers of the <i>applicant</i> are held or maintained by such other <i>person</i>, firm or organization? <i>For purposes of 8B and 8C, do not include a bank or satisfactory control location as defined in paragraph (c) of Rule 15c3-3 under the Securities Exchange Act of 1934 (17 CFR 240.15c3-3).</i> <i>if "Yes" to any part of Item 8, complete appropriate items on Schedule D, Page 1, Section IV.</i>				YES	NO
9. Does any <i>person</i> not named in Item 1 or Schedules A, B, or C, directly or indirectly: A. control the management or policies of the <i>applicant</i> through agreement or otherwise? B. wholly or partially finance the business of <i>applicant</i>? <i>Do not answer "Yes" to 9B if the person finances the business of the applicant through: 1) a public offering of securities made pursuant to the Securities Act of 1933; 2) credit extended in the ordinary course of business by suppliers, banks, and others; or 3) a satisfactory subordination agreement, as defined in Rule 15c3-1 under the Securities Exchange Act of 1934 (17 CFR 240.15c3-1).</i> <i>If "Yes" to any part of Item 9, complete appropriate items on Schedule D, Page 1, Section IV.</i>					
10. A. Directly or indirectly, does <i>applicant</i> control, is <i>applicant</i> controlled by, or is <i>applicant</i> under common control with, any partnership, corporation, or other organization that is engaged in the securities or investment advisory business? <i>If "Yes" to Item 10A, complete appropriate items on Schedule D, Page 2, Section V.</i> B. Directly or indirectly, is <i>applicant</i> controlled by any bank holding company, national bank, state member bank of the Federal Reserve System, state non-member bank, savings bank or association, credit union, or foreign bank? .. <i>If "Yes" to Item 10B, complete appropriate items on Schedule D, Page 3, Section VI.</i>					
11. Use the appropriate DRP for providing details to "yes" answers to the questions in Item 11. Refer to the Explanation of Terms section of Form BD Instructions for explanations of italicized terms.					
CRIMINAL DISCLOSURE	A. In the past ten years has the <i>applicant</i> or a <i>control affiliate</i>: (1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign or military court to any <i>felony</i>? (2) been <i>charged</i> with any <i>felony</i>? B. In the past ten years has the <i>applicant</i> or a <i>control affiliate</i>: (1) 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? (2) been <i>charged</i> with a <i>misdemeanor</i> specified in 11B(1)?				
	C. Has the U.S. Securities and Exchange Commission or the Commodity Futures Trading Commission ever: (1) <i>found</i> the <i>applicant</i> or a <i>control affiliate</i> to have made a false statement or omission? (2) <i>found</i> the <i>applicant</i> or a <i>control affiliate</i> to have been <i>involved</i> in a violation of its regulations or statutes? (3) <i>found</i> the <i>applicant</i> or a <i>control affiliate</i> 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 the <i>applicant</i> or a <i>control affiliate</i> in connection with <i>investment-related</i> activity? (5) imposed a civil money penalty on the <i>applicant</i> or a <i>control affiliate</i>, or ordered the <i>applicant</i> or a <i>control affiliate</i> to cease and desist from any activity?				
REGULATORY ACTION DISCLOSURE					

FORM BD PAGE 4		Applicant Name: _____ Date: _____ Firm CRD No.: _____		OFFICIAL USE	OFFICIAL USE ONLY
REGULATORY ACTION DISCLOSURE	D. Has any other federal regulatory agency, any state regulatory agency, or <i>foreign financial regulatory authority</i> :			YES	NO
	(1) ever <i>found</i> the <i>applicant</i> or a <i>control affiliate</i> to have made a false statement or omission or been dishonest, unfair, or unethical?			☐	☐
	(2) ever <i>found</i> the <i>applicant</i> or a <i>control affiliate</i> to have been <i>involved</i> in a violation of <i>investment-related</i> regulations or statutes?			☐	☐
	(3) ever <i>found</i> the <i>applicant</i> or a <i>control affiliate</i> to have been a cause of an <i>investment-related</i> business having its authorization to do business denied, suspended, revoked, or restricted?			☐	☐
	(4) in the past ten years, entered an <i>order</i> against the <i>applicant</i> or a <i>control affiliate</i> in connection with an <i>investment-related</i> activity?			☐	☐
	(5) ever denied, suspended, or revoked the <i>applicant's</i> or a <i>control affiliate's</i> registration or license or otherwise, by <i>order</i> , prevented it from associating with an <i>investment-related</i> business or restricted its activities?			☐	☐
	E. Has any <i>self-regulatory organization</i> or commodities exchange ever:				
	(1) <i>found</i> the <i>applicant</i> or a <i>control affiliate</i> to have made a false statement or omission?			☐	☐
	(2) <i>found</i> the <i>applicant</i> or a <i>control affiliate</i> 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)?			☐	☐
	(3) <i>found</i> the <i>applicant</i> or a <i>control affiliate</i> to have been the cause of an <i>investment-related</i> business having its authorization to do business denied, suspended, revoked, or restricted?			☐	☐
(4) disciplined the <i>applicant</i> or a <i>control affiliate</i> by expelling or suspending it from membership, barring or suspending its association with other members, or otherwise restricting its activities?			☐	☐	
F. Has the <i>applicant's</i> or a <i>control affiliate's</i> authorization to act as an attorney, accountant, or federal contractor ever been revoked or suspended?			☐	☐	
G. Is the <i>applicant</i> or a <i>control affiliate</i> now the subject of any regulatory <i>proceeding</i> that could result in a "yes" answer to any part of 11C, D, or E?			☐	☐	
CIVIL JUDICIAL DISCLOSURE	H. (1) Has any domestic or foreign court:				
	(a) in the past ten years, <i>enjoined</i> the <i>applicant</i> or a <i>control affiliate</i> in connection with any <i>investment-related</i> activity?			☐	☐
	(b) ever <i>found</i> that the <i>applicant</i> or a <i>control affiliate</i> was <i>involved</i> in a violation of <i>investment-related</i> statutes or regulations?			☐	☐
	(c) ever dismissed, pursuant to a settlement agreement, an <i>investment-related</i> civil action brought against the <i>applicant</i> or <i>control affiliate</i> by a state or <i>foreign financial regulatory authority</i> ?			☐	☐
	(2) Is the <i>applicant</i> or a <i>control affiliate</i> now the subject of any civil <i>proceeding</i> that could result in a "yes" answer to any part of 11H(1)?			☐	☐
FINANCIAL DISCLOSURE	I. In the past ten years has the <i>applicant</i> or a <i>control affiliate</i> of the <i>applicant</i> ever been a securities firm or a <i>control affiliate</i> of a securities firm that:				
	(1) has been the subject of a bankruptcy petition?			☐	☐
	(2) has had a trustee appointed or a direct payment procedure initiated under the Securities Investor Protection Act?			☐	☐
	J. Has a bonding company ever denied, paid out on, or revoked a bond for the <i>applicant</i> ?			☐	☐
	K. Does the <i>applicant</i> have any unsatisfied judgments or liens against it?			☐	☐

FORM BD PAGE 5	Applicant Name: _____		OFFICIAL USE	OFFICIAL USE ONLY
	Date: _____	Firm CRD No.: _____		
12. Check types of business engaged in (or to be engaged in, if not yet active) by <i>applicant</i> . Do not check any category that accounts for (or is expected to account for) less than 1% of annual revenue from the securities or investment advisory business.				
A. Exchange member engaged in exchange commission business other than floor activities			☐ EMC	
B. Exchange member engaged in floor activities			☐ EMF	
C. Broker or dealer making inter-dealer markets in corporate securities over-the-counter			☐ IDM	
D. Broker or dealer retailing corporate equity securities over-the-counter			☐ BDR	
E. Broker or dealer selling corporate debt securities			☐ BDD	
F. Underwriter or selling group participant (corporate securities other than mutual funds)			☐ USG	
G. Mutual fund underwriter or sponsor			☐ MFU	
H. Mutual fund retailer			☐ MFR	
I. 1. U.S. government securities dealer			☐ GSD	
2. U.S. government securities broker			☐ GSB	
J. Municipal securities dealer			☐ MSD	
K. Municipal securities broker			☐ MSB	
L. Broker or dealer selling variable life insurance or annuities			☐ VLA	
M. Solicitor of time deposits in a financial institution			☐ SSL	
N. Real estate syndicator			☐ RES	
O. Broker or dealer selling oil and gas interests			☐ OGI	
P. Put and call broker or dealer or option writer			☐ PCB	
Q. Broker or dealer selling securities of only one issuer or associate issuers (other than mutual funds)			☐ BIA	
R. Broker or dealer selling securities of non-profit organizations (e.g., churches, hospitals)			☐ NPB	
S. Investment advisory services			☐ IAD	
T. 1. Broker or dealer selling tax shelters or limited partnerships in primary distributions			☐ TAP	
2. Broker or dealer selling tax shelters or limited partnerships in the secondary market			☐ TAS	
U. Non-exchange member arranging for transactions in listed securities by exchange member			☐ NEX	
V. Trading securities for own account			☐ TRA	
W. Private placements of securities			☐ PLA	
X. Broker or dealer selling interests in mortgages or other receivables			☐ MRI	
Y. Broker or dealer involved in a networking, kiosk or similar arrangement with a:				
1. bank, savings bank or association, or credit union			☐ BNA	
2. insurance company or agency			☐ INA	
Z. Other (give details on Schedule D, Page 1, Section II)			☐ OTH	
13. A. Does <i>applicant</i> effect transactions in commodity futures, commodities or commodity options as a broker for others or as a dealer for its own account?			YES NO	
			☐ ☐	
B. Does <i>applicant</i> engage in any other non-securities business?			☐ ☐	
If "yes," describe each other business briefly on Schedule D, Page 1, Section II.				

[illegible]

Schedule B of FORM BD INDIRECT OWNERS		OFFICIAL USE
	(Answer for Form BD Item 3)	Applicant Name: _____ Date:_____ Firm CRD No.: _____

Date: _____ Firm CRD No.: _____

1. Use Schedule B only in new applications to provide information on the **indirect** owners of the *applicant*. Use Schedule A in new applications to provide information on **direct** owners. File all amendments on Schedule C. **Complete each column.**
2. With respect to each owner listed on Schedule A, (except individual owners), list below:
 - (a) in the case of an owner that is a corporation, each of its shareholders that beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 25% or more of a class of a voting security of that corporation;
For purposes of this Schedule, a *person* beneficially owns any securities (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-in-law, sharing the same residence; or (ii) that he/she has the *right to acquire*, within 60 days, through the exercise of any option, warrant or right to purchase the security.
 - (b) in the case of an owner that is a partnership, **all** general partners and those limited and special partners that have the right to receive upon dissolution, or have contributed, 25% or more of the partnership's capital; and
 - (c) in the case of an owner that is a trust, the trust and each trustee.
 - (d) in the case of an owner that is a Limited Liability Company ("LCC"), (i) those members that have the right to receive upon dissolution, or have contributed, 25% or more of the LLC's capital, and (ii) if managed by elected managers, all elected managers.
3. Continue up the chain of ownership listing all 25% owners at each level. Once a public reporting company (a company subject to Sections 12 or 15(d) of the Securities Exchange Act of 1934) is reached, no ownership information further up the chain of ownership need be given.
4. In the "DE/FE/I" column, enter "DE" if the owner is a domestic entity, or enter "FE" if owner is an entity incorporated or domiciled in a foreign country, or enter "I" if the owner is an individual.
5. Complete the "Status" column by entering status as partner, trustee, shareholder, etc., and if shareholder, class of securities owned (if more than one is issued).
6. Ownership codes are: C - 25% but less than 50% D - 50% but less than 75% E - 75% or more F - Other General Partners
7. (a) In the "Control Person" column, enter "Yes" if *person* has "control" as defined in the instructions to this form, and enter "No" if the *person* does not have control. Note that under this definition most executive officers and all 25% owners, general partners, and trustees would be "control persons".
(b) In the "PR" column, enter "PR" if the owner is a public reporting company under Sections 12 or 15(d) of the Securities Exchange Act of 1934.

[illegible]

(Amendments to answers for Form BD Item 3)

Applicant Name: _____

Date: Firm CRD No.:

--	--

- 4. List below all changes to Schedule A: (DIRECT OWNERS AND EXECUTIVE OFFICERS)**

[illegible]

5. List below all changes to Schedule B: (INDIRECT OWNERS)

[illegible]

Schedule D of FORM BD Page 1		Applicant Name: _____ Date: _____ Firm CRD No.: _____		OFFICIAL USE		OFFICIAL USE ONLY	
Use this Schedule D Page 1 to report details for items listed below. Report only new information or changes/updates to previously submitted details. Do not repeat previously submitted information. This is an ☐ INITIAL ☐ AMENDED detail filing for the Form BD items checked below:							
SECTION I Other Business Names							
(Check if applicable) ☐ Item 1C(2) List each of the "other" names and the <i>jurisdiction(s)</i> in which they are used.							
1. Name		Jurisdiction		2. Name		Jurisdiction	
3. Name		Jurisdiction		4. Name		Jurisdiction	
SECTION II Other Business							
(Check one) ☐ Item 12Z ☐ Item 13B <i>Applicant</i> must complete a separate Schedule D Page 1 for each affirmative response in this section.							
Briefly describe any other business (ITEM 12Z); or any other non-securities business (ITEM 13B). Use reverse side of this sheet for additional comments if necessary.							
SECTION III Successions							
(Check if applicable) ☐ Item 5							
Date of Succession MM DD YYYY / /		Name of Predecessor					
Firm CRD Number		IRS Employer Identification Number (if any)			SEC File Number (if any)		
Briefly describe details of the <i>succession</i> including any assets or liabilities not assumed by the <i>successor</i>. Use reverse side of this sheet for additional comments if necessary.							
SECTION IV Introducing and Clearing Arrangements / Control Persons / Financings							
(Check one) ☐ Item 7 ☐ Item 8A ☐ Item 8B ☐ Item 8C ☐ Item 9A ☐ Item 9B							
<i>Applicant</i> must complete a separate Schedule D Page 1 for each affirmative response in this section including any multiple responses to any item. Complete the "Effective Date" box with the Month, Day and Year that the arrangement or agreement became effective. When reporting a change or termination of an arrangement or agreement, enter the effective date of the change.							
Firm or Organization Name				CRD Number (if any)			
Business Address (Street, City, State/Country, Zip+4 Postal Code)				Effective Date MM DD Y YYYY / /		Termination Date MM DD Y YYYY / /	
Individual Name (if applicable) (Last, First, Middle)				CRD Number (if any)			
Business Address (if applicable) (Street, City, State/Country, Zip+4 Postal Code)				Effective Date MM DD Y YYYY / /		Termination Date MM DD Y YYYY / /	
Briefly describe the nature of reference or arrangement (ITEM 7 or ITEM 8); the nature of the <i>control</i> or agreement (ITEM 9A); or the method and amount of financing (ITEM 9B). Use reverse side of this sheet for additional comments if necessary.							

Schedule D of FORM BD Page 2		Applicant Name: _____ Date: _____ Firm CRD No.: _____		OFFICIAL USE ONLY	
Use this Schedule D Page 2 to report details for Item 10A. Report only new information or changes/updates to previously submitted details. Do not repeat previously submitted information. Supply details for all partnerships, corporations, organizations, institutions and individuals necessary to answer each item completely. Use additional copies of Schedule D Page 2 if necessary. Use the "Effective Date" box to enter the Month, Day, and Year that the affiliation was effective or the date of the most recent change in the affiliation. This is an ☐ INITIAL ☐ AMENDED detail filing for Form BD Item 10A ☐ 10A. Directly or indirectly, does <i>applicant</i> control, is <i>applicant controlled</i> by, or is <i>applicant</i> under common <i>control</i> with, any partnership, corporation, or other organization that is engaged in the securities or investment advisory business?					
SECTION V Complete this section for control issues relating to ITEM 10A only.					
The details supplied relate to:					
1		Partnership, Corporation, or Organization Name		CRD Number (if any)	
(check only one) This Partnership, Corporation, or Organization ☐ controls applicant ☐ is controlled by applicant ☐ is under common control with applicant Business Address (Street, City, State/Country, Zip+4/Postal Code) Effective Date MM DD Y YYYY / / Termination Date MM DD Y YYYY / /					
Is Partnership, Corporation or Organization a foreign entity? ☐ Yes ☐ No		If Yes, provide country of domicile or incorporation:		Check "Yes" or "No" for activities of this partnership, corporation, or organization:  Securities ☐ Yes ☐ No Investment Advisory ☐ Yes ☐ No Activities: Activities:	
Briefly describe the control relationship. Use reverse side of this sheet for additional comments if necessary.					
2		Partnership, Corporation, or Organization Name		CRD Number (if any)	
(check only one) This Partnership, Corporation, or Organization ☐ controls applicant ☐ is controlled by applicant ☐ is under common control with applicant Business Address (Street, City, State/Country, Zip+4/Postal Code) Effective Date MM DD Y YYYY / / Termination Date MM DD Y YYYY / /					
Is Partnership, Corporation or Organization a foreign entity? ☐ Yes ☐ No		If Yes, provide country of domicile or incorporation:		Check "Yes" or "No" for activities of this partnership, corporation, or organization:  Securities ☐ Yes ☐ No Investment Advisory ☐ Yes ☐ No Activities: Activities:	
Briefly describe the control relationship. Use reverse side of this sheet for additional comments if necessary.					
3		Partnership, Corporation, or Organization Name		CRD Number (if any)	
(check only one) This Partnership, Corporation, or Organization ☐ controls applicant ☐ is controlled by applicant ☐ is under common control with applicant Business Address (Street, City, State/Country, Zip+4/Postal Code) Effective Date MM DD Y YYYY / / Termination Date MM DD Y YYYY / /					
Is Partnership, Corporation or Organization a foreign entity? ☐ Yes ☐ No		If Yes, provide country of domicile or incorporation:		Check "Yes" or "No" for activities of this partnership, corporation, or organization:  Securities ☐ Yes ☐ No Investment Advisory ☐ Yes ☐ No Activities: Activities:	
Briefly describe the control relationship. Use reverse side of this sheet for additional comments if necessary.					
If applicant has more than 3 organizations to report, complete additional Schedule D Page 2s.					

Schedule D of FORM BD Page 3		Applicant Name: _____ Date: _____ Firm CRD No.: _____		OFFICIAL USE	OFFICIAL USE ONLY
Use this Schedule D Page 3 to report details for Item 10B. Report only new information or changes/updates to previously submitted details. Do not repeat previously submitted information. Supply details for all partnerships, corporations, organizations, institutions and individuals necessary to answer each item completely. Use additional copies of Schedule D Page 3 if necessary. Use the "Effective Date" box to enter the Month, Day, and Year that the affiliation was effective or the date of the most recent change in the affiliation. This is an ☐ INITIAL ☐ AMENDED detail filing for Form BD Item 10B ☐ 10B. Directly or indirectly, is <i>applicant controlled</i> by any bank holding company, national bank, state member bank of the Federal Reserve System, state non-member bank, savings bank or association, credit union, or foreign bank?					
SECTION VI Complete this section for control issues relating to ITEM 10B only.					
Provide the details for each organization or institution that <i>controls</i> the <i>applicant</i> , including each organization or institution in the <i>applicant's</i> chain of ownership. The details supplied relate to:					
1	Financial Institution Name			CRD Number (if applicable)	
Institution Type (i.e., bank holding company, national bank, state member bank of the Federal Reserve System, state non-member bank, savings association, credit union, or foreign bank)			Effective Date MM DD YYYY / /		
			Termination Date MM DD YYYY / /		
Business Address (Street, City, State/Country, Zip+4/Postal Code)			If foreign, country of domicile or incorporation		
Briefly describe the <i>control</i> relationship. Use reverse side of this sheet for additional comments if necessary.					
2	Financial Institution Name			CRD Number (if applicable)	
Institution Type (i.e., bank holding company, national bank, state member bank of the Federal Reserve System, state non-member bank, savings association, credit union, or foreign bank)			Effective Date MM DD YYYY / /		
			Termination Date MM DD YYYY / /		
Business Address (Street, City, State/Country, Zip+4/Postal Code)			If foreign, country of domicile or incorporation		
Briefly describe the <i>control</i> relationship. Use reverse side of this sheet for additional comments if necessary.					
3	Financial Institution Name			CRD Number (if applicable)	
Institution Type (i.e., bank holding company, national bank, state member bank of the Federal Reserve System, state non-member bank, savings association, credit union, or foreign bank)			Effective Date MM DD YYYY / /		
			Termination Date MM DD YYYY / /		
Business Address (Street, City, State/Country, Zip+4/Postal Code)			If foreign, country of domicile or incorporation		
Briefly describe the <i>control</i> relationship. Use reverse side of this sheet for additional comments if necessary.					
4	Financial Institution Name			CRD Number (if applicable)	
Institution Type (i.e., bank holding company, national bank, state member bank of the Federal Reserve System, state non-member bank, savings association, credit union, or foreign bank)			Effective Date MM DD YYYY / /		
			Termination Date MM DD YYYY / /		
Business Address (Street, City, State/Country, Zip+4/Postal Code)			If foreign, country of domicile or incorporation		
Briefly describe the <i>control</i> relationship. Use reverse side of this sheet for additional comments if necessary.					
If <i>applicant</i> has more than 4 organizations/institutions to report, complete additional Schedule D page 3s.					

Schedule E of FORM BD

OFFICIAL USE

Applicant Name: _____

Date: _____ Firm CRD No.: _____

INSTRUCTIONS

General: Use this schedule to register or report branch offices or other business locations of the *applicant*. Repeat Items 1-12 for each branch office or other business location. Each item must be completed unless otherwise noted. Use additional copies of this schedule as necessary. If this branch office or other business location is using a name in connection with securities activities other than the *applicant's* name, such name must be reported under Item 1C(2) on Page 1 of this Form.

Specific:

- Item 1. Specify only one box. Check "Add" when a branch office or other business location is opened and the *applicant* is filing the initial notice, "Delete" when a branch office or other business location is closed, and "Amendment" to indicate any other change to previously filed information.
- Item 2. CRD will assign this branch number when the *applicant* adds a branch office or other business location as discussed in Item 1 above. If known, complete this item for all deletions and amendments.
- Item 3. The Billing Code is an alpha/numeric value consisting of up to eight characters. It is the responsibility of the firm to establish and maintain its own unique billing codes. This is not a required field.
- Item 4. Complete this item for all entries. A physical location must be included; post office box designations alone are not sufficient.
- Item 5. Complete this item only when the *applicant* changes the address of an existing branch office or other business location.
- Item 6. If the branch office or other business location occupies or shares space on premises within a bank, savings bank or association, credit union, or other financial institution, enter the name of the institution in the space provided.
- Item 7. Complete this item for all entries. Enter the name of the supervisor or registered representative in charge who is physically at this location.
- Item 8. Provide the CRD number for the branch office supervisor named in Item 7.
- Item 9. Complete this item for all entries. Provide the date that the branch office or other business location was opened (ADD), closed (DELETE), or the effective date of the change (AMENDMENT).
- Item 10. Check "Yes" or "No" to denote whether the location will be an Office of Supervisory Jurisdiction (OSJ) as defined in FINRA rules.
- Item 11. Check "Yes" or "No" to denote whether the location is a business location that will operate pursuant to a written agreement or contract (other than an insurance agency agreement) with the main office and any one or more of the following will apply: the location (A) assumes liability for its own expenses or has its expenses paid by a party other than the *applicant*; (B) has primary responsibility for decisions relating to the employment and remuneration of its registered representatives; (C) deems 5% or more of its total registered representatives to be "independent contractors" for tax purposes; or (D) engages in separate market making and/or underwriting activities.
- Item 12. Check the appropriate box(es) if the branch or other business location is registering with FINRA or registering or reporting with a *jurisdiction*.

1. Check only one box: ☐ Add ☐ Delete ☐ Amendment

2. CRD Branch Number _____

3. Billing Code _____

4. _____
Street

P.O. Box (if applicable), Suite, Floor _____

City, State/Country, Zip Code + 4/Postal Code _____

If applicant is changing the address, enter the new address in Item 5.

5. _____
Street

P.O. Box (if applicable), Suite, Floor _____

City, State/Country, Zip Code + 4/Postal Code _____

6. _____
Institution Name (if applicable)7. _____
Supervisor Name8. _____
CRD Number of Supervisor9. _____
Effective Date (MM/DD/YYYY)10. OSJ ☐ Yes ☐ No11. ☐ Yes ☐ No

If Yes, indicate each Item 11 subset that applies:

☐ A ☐ B ☐ C ☐ D12. ☐ FINRA ☐ Jurisdiction1. Check only one box: ☐ Add ☐ Delete ☐ Amendment

2. CRD Branch Number _____

3. Billing Code _____

4. _____
Street

P.O. Box (if applicable), Suite, Floor _____

City, State/Country, Zip Code + 4/Postal Code _____

If applicant is changing the address, enter the new address in Item 5.

5. _____
Street

P.O. Box (if applicable), Suite, Floor _____

City, State/Country, Zip Code + 4/Postal Code _____

6. _____
Institution Name (if applicable)7. _____
Supervisor Name8. _____
CRD Number of Supervisor9. _____
Effective Date (MM/DD/YYYY)10. OSJ ☐ Yes ☐ No11. ☐ Yes ☐ No

If Yes, indicate each Item 11 subset that applies:

☐ A ☐ B ☐ C ☐ D12. ☐ FINRA ☐ Jurisdiction

CRIMINAL DISCLOSURE REPORTING PAGE (BD)

GENERAL INSTRUCTIONS

This Disclosure Reporting Page (DRP BD) is an ☐ INITIAL **OR** ☐ AMENDED response used to report details for affirmative responses to **Items 11A and 11B** of Form BD;

Check ☒ item(s) being responded to:

11A In the past ten years has the *applicant* or a *control affiliate*:

- ☐ (1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any *felony*?
- ☐ (2) been *charged* with any *felony*?

11B In the past ten years has the *applicant* or a *control affiliate*:

- ☐ (1) been convicted or pled guilty or nolo contendere ("no contest") in a domestic, foreign or military court to a *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?
- ☐ (2) been *charged* with a *misdemeanor* specified in 11B(1)?

Use a separate DRP for each event or *proceeding*. An event or *proceeding* may be reported for more than one *person* or entity using one DRP. File with a completed Execution Page.

Multiple counts of the same charge arising out of the same event(s) 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. 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.

If a *control affiliate* is an individual or organization registered through the CRD, such *control affiliate* need only complete Part I of the *applicant's* appropriate DRP (BD). Details of the event must be submitted on the *control affiliate's* appropriate DRP (BD) or DRP (U-4). If a *control affiliate* is an individual or organization not registered through the CRD, provide complete answers to all the items on the *applicant's* appropriate DRP (BD). The completion of this DRP does not relieve the *control affiliate* of its obligation to update its CRD records.

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. Documents will not be accepted as disclosure in lieu of answering the questions on this DRP.

PART I

A. The *person(s)* or entity(ies) for whom this DRP is being filed is (are):

- ☐ The *Applicant*
- ☐ *Applicant* and one or more *control affiliate(s)*
- ☐ One or more *control affiliate(s)*

If this DRP is being filed for a *control affiliate*, give the full name of the *control affiliate* below (for individuals, Last name, First name, Middle name).

If the *control affiliate* is registered with the CRD, provide the CRD number. If not, Indicate "non-registered" by checking the appropriate checkbox.

NAME OF APPLICANT

APPLICANT CRD NUMBER

BD DRP - CONTROL AFFILIATE

CRD NUMBER

This *Control Affiliate* is ☐ Firm ☐ Individual

Registered: ☐ Yes ☐ No

NAME (For individuals, Last, First, Middle)

☐ This DRP should be removed from the BD record because the *control affiliate(s)* are no longer associated with the BD.

B. If the *control affiliate* is registered through the CRD, has the *control affiliate* submitted a DRP (with Form U-4) or BD DRP to the CRD System for the event? If the answer is "Yes," no other information on this DRP must be provided.

☐ Yes ☐ No

NOTE: The completion of this Form does not relieve the *control affiliate* of its obligation to update its CRD records.

(continued)

CRIMINAL DISCLOSURE REPORTING PAGE (BD)

(continuation)

PART II

1. If charge(s) were brought against an organization over which the *applicant* or *control affiliate* exercise(d) control: Enter organization name, whether or not the organization was an *investment-related* business and the *applicant's* or *control affiliate's* position, title or relationship.

2. Formal Charge(s) were brought in: (include name of Federal, Military, State or Foreign Court, Location of Court - City or County and State or Country, Docket/Case number).

3. **Event 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 Disclosure Detail (include Charge(s)/Charge Description(s), and for each charge provide: 1. number of counts, 2. *felony* or *misdemeanor*, 3. plea for each charge, and 4. product type if charge is *investment-related*):

C. Did any of the Charge(s) within the Event involve a *Felony*? ☐ Yes ☐ No

D. Current status of the Event? ☐ Pending ☐ On Appeal ☐ Final

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

If not exact, provide explanation:

4. **Disposition Disclosure Detail:** Include for each charge, A. Disposition Type [e.g., convicted, acquitted, dismissed, pretrial, etc.], B. Date, C. Sentence/Penalty, D. Duration [if sentence-suspension, probation, etc.], E. Start Date of Penalty, F. Penalty/Fine Amount and G. Date Paid.

5. Provide a brief summary of circumstances leading to the charge(s) as well as the disposition. Include the relevant dates when the conduct which was the subject of the charge(s) occurred. (The information must fit within the space provided.)

REGULATORY ACTION DISCLOSURE REPORTING PAGE (BD)

GENERAL INSTRUCTIONS

This Disclosure Reporting Page (DRP BD) is an ☐ INITIAL OR ☐ AMENDED response used to report details for affirmative responses to **Items 11C, 11D, 11E, 11F or 11G** of Form BD;

Check ☒ item(s) being responded to:

- 11C. Has the U.S. Securities and Exchange Commission or the Commodity Futures Trading Commission ever:
- ☐ (1) found the applicant or a control affiliate to have made a false statement or omission?
 - ☐ (2) found the applicant or a control affiliate to have been involved in a violation of its regulations or statutes?
 - ☐ (3) found the applicant or a control affiliate to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted?
 - ☐ (4) entered an order against the applicant or a control affiliate in connection with investment-related activity?
 - ☐ (5) imposed a civil money penalty on the applicant or a control affiliate, or ordered the applicant or a control affiliate to cease and desist from any activity?
- 11D. Has any other federal regulatory agency, any state regulatory agency, or foreign financial regulatory authority:
- ☐ (1) ever found the applicant or a control affiliate to have made a false statement or omission or been dishonest, unfair, or unethical?
 - ☐ (2) ever found the applicant or a control affiliate to have been involved in a violation of investment-related regulations or statutes?
 - ☐ (3) ever found the applicant or a control affiliate to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted?
 - ☐ (4) in the past ten years, entered an order against the applicant or a control affiliate in connection with an investment-related activity?
 - ☐ (5) ever denied, suspended, or revoked the applicant's or a control affiliate's registration or license or otherwise, by order, prevented it from associating with an investment-related business or restricted its activities?
- 11E. Has any self-regulatory organization or commodities exchange ever:
- ☐ (1) found the applicant or a control affiliate to have made a false statement or omission?
 - ☐ (2) found the applicant or a control affiliate 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)?
 - ☐ (3) found the applicant or a control affiliate to have been the cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted?
 - ☐ (4) disciplined the applicant or a control affiliate by expelling or suspending it from membership, barring or suspending its association with other members, or otherwise restricting its activities?
- 11F. ☐ Has the applicant's or a control affiliate's authorization to act as an attorney, accountant, or federal contractor ever been revoked or suspended?
- 11G. ☐ Is the applicant or a control affiliate now the subject of any regulatory proceeding that could result in a "yes" answer to any part of 11C, D, or E?

Use a separate DRP for each event or proceeding. An event or proceeding may be reported for more than one person or entity using one DRP. File with a completed Execution Page.

One event may result in more than one affirmative answer to Items 11C, 11D, 11E, 11F or 11G. 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 for each action on a separate DRP.

It is not a requirement that documents be provided for each event or proceeding. Should they be provided, they will not be accepted as disclosure in lieu of answering the questions on this DRP.

If a control affiliate is an individual or organization registered through the CRD, such control affiliate need only complete Part I of the applicant's appropriate DRP (BD). Details of the event must be submitted on the control affiliate's appropriate DRP (BD) or DRP (U-4). If a control affiliate is an individual or organization not registered through the CRD, provide complete answers to all the items on the applicant's appropriate DRP (BD). The completion of this DRP does not relieve the control affiliate of its obligation to update its CRD records.

PART I

A. The person(s) or entity(ies) for whom this DRP is being filed is (are):

- ☐ The Applicant
- ☐ Applicant and one or more control affiliate(s)
- ☐ One or more control affiliate(s)

If this DRP is being filed for a control affiliate, give the full name of the control affiliate below (for individuals, Last name, First name, Middle name).

If the control affiliate is registered with the CRD, provide the CRD number. If not, indicate "non-registered" by checking the appropriate checkbox.

NAME OF APPLICANT	APPLICANT CRD NUMBER
-------------------	----------------------

BD DRP - CONTROL AFFILIATE

CRD NUMBER

This Control Affiliate is ☐ Firm ☐ Individual

Registered: ☐ Yes ☐ No

NAME (For individuals, Last, First, Middle)

☐ This DRP should be removed from the BD record because the control affiliate(s) are no longer associated with the BD.

B. If the control affiliate is registered through the CRD, has the control affiliate submitted a DRP (with Form U-4) or BD DRP to the CRD System for the event? If the answer; "Yes," no other information on this DRP must be provided.

☐ Yes ☐ No

NOTE: The completion of this form does not relieve the control affiliate of its obligation to update its CRD records.

(continued)

REGULATORY ACTION DISCLOSURE REPORTING PAGE (BD)

(continuation)

PART II

1. Regulatory Action initiated by:

☐ SEC ☐ Other Federal ☐ State ☐ SRO ☐ Foreign

(Full name of regulator, foreign financial regulatory authority, federal, state or SRO)

2. Principal Sanction: (check appropriate item)

☐ Civil and Administrative Penalty(ies)/Fine(s)
☐ Bar
☐ Cease and Desist
☐ Censure
☐ Denial

☐ Disgorgement
☐ Expulsion
☐ Injunction
☐ Prohibition
☐ Reprimand

☐ Restitution
☐ Revocation
☐ Suspension
☐ Undertaking
☐ Other _____

Other Sanctions:

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

☐ Exact

☐ Explanation

If not exact, provide explanation: _____

4. Docket/Case Number:

5. Control Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):

6. Principal Product Type: (check appropriate item)

☐ Annuity(ies) - Fixed
☐ Annuity(ies) - Variable
☐ CD(s)
☐ Commodity Option(s)
☐ Debt - Asset Backed
☐ Debt - Corporate
☐ Debt - Government
☐ Debt - Municipal

☐ Derivative(s)
☐ Direct Investment(s) - DPP & LP Interest(s)
☐ Equity - OTC
☐ Equity Listed (Common & Preferred Stock)
☐ Futures - Commodity
☐ Futures - Financial
☐ Index Option(s)
☐ Insurance

☐ Investment Contract(s)
☐ Money Market Fund(s)
☐ Mutual Fund(s)
☐ No Product
☐ Options
☐ Penny Stock(s)
☐ Unit Investment Trust(s)
☐ Other _____

Other Product Types:

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

8. Current Status? ☐ Pending ☐ On Appeal ☐ Final

9. If on appeal, regulatory action appealed to: (SEC, SRO, Federal or State Court) and Date Appeal Filed:

(continued)

CIVIL JUDICIAL ACTION DISCLOSURE REPORTING PAGE (BD)

GENERAL INSTRUCTIONS

This Disclosure Reporting Page (DRP BD) is an ☐ INITIAL **OR** ☐ AMENDED response used to report details for affirmative responses to **Item 11H** of Form BD;

Check ☒ item(s) being responded to:

11H(1) Has any domestic or foreign court:

- ☐ (a) in the past ten years, *enjoined* the *applicant* or a *control affiliate* in connection with any *investment-related* activity?
☐ (b) ever *found* that the *applicant* or a *control affiliate* was *involved* in a violation of *investment-related* statutes or regulations?
☐ (c) ever dismissed, pursuant to a settlement agreement, an *investment-related* civil action brought against the *applicant* or a *control affiliate* by a state or foreign financial regulatory authority?

11H(2) ☐ Is the *applicant* or a *control affiliate* now the subject of any civil *proceeding* that could result in a “yes” answer to any part of 11H?

Use a separate DRP for each event or *proceeding*. An event or *proceeding* may be reported for more than one *person* or entity using one DRP. File with a completed Execution Page.

One event may result in more than one affirmative answer to Item 11H. Use only one DRP to report details related to the same event. Unrelated civil judicial actions must be reported on separate DRPs.

It is not a requirement that documents be provided for each event or *proceeding*. Should they be provided, they will not be accepted as disclosure in lieu of answering the questions on this DRP.

If a *control affiliate* is an individual or organization registered through the CRD, such *control affiliate* need only complete Part I of the *applicant's* appropriate DRP (BD). Details of the event must be submitted on the *control affiliate's* appropriate DRP (BD) or DRP (U-4). If a *control affiliate* is an individual or organization not registered through the CRD, provide complete answers to all the items on the *applicant's* appropriate DRP (BD). The completion of this DRP does not relieve the *control affiliate* of its obligation to update its CRD records.

PART I

A. The *person(s)* or entity(ies) for whom this DRP is being filed is (are):

- ☐ The *Applicant*
☐ *Applicant* and one or more *control affiliate(s)*
☐ One or more *control affiliate(s)*

If this DRP is being filed for a *control affiliate*, give the full name of the *control affiliate* below (for individuals, Last name, First name, Middle name).

If the *control affiliate* is registered with the CRD, provide the CRD number. If not, indicate “non-registered” by checking the appropriate checkbox.

NAME OF APPLICANT	APPLICANT CRD NUMBER
-------------------	----------------------

BD DRP - CONTROL AFFILIATE

CRD NUMBER

This Control Affiliate is ☐ Firm ☐ Individual

Registered: ☐ Yes ☐ No

NAME (For individuals, Last, First, Middle)

☐ This DRP should be removed from the BD record because the *control affiliate(s)* are no longer associated with the BD.

B. If the *control affiliate* is registered through the CRD, has the *control affiliate* submitted a DRP (with Form U-4) or BD DRP to the CRD System for the event? If the answer is “Yes,” no other information on this DRP must be provided.

☐ Yes ☐ No

NOTE: The completion of this Form does not relieve the *control affiliate* of its obligation to update its CRD records.

PART II

1. Court Action initiated by: (Name of regulator, *foreign financial regulatory authority*, SRO, commodities exchange, agency, firm, private plaintiff, etc.)

--

(continued)

CIVIL JUDICIAL ACTION DISCLOSURE REPORTING PAGE (BD)
(continuation)

2. Principal Relief Sought: (check appropriate item)

- | | | | |
|---|---------------------------------------|--|--|
| ☐ Cease and Desist | ☐ Disgorgement | ☐ Money Damages (Private/Civil Complaint) | ☐ Restraining Order |
| ☐ Civil Penalty(ies)/Fine(s) | ☐ Injunction | ☐ Restitution | ☐ Other _____ |

Other Relief Sought:

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

☐ Exact ☐ Explanation

If not exact, provide explanation: _____

4. Principal Product Type: (check appropriate item)

- | | | |
|--|--|---|
| ☐ Annuity(ies) - Fixed | ☐ Derivative(s) | ☐ Investment Contract(s) |
| ☐ Annuity(ies) - Variable | ☐ Direct Investment(s) - DPP & LP Interest(s) | ☐ Money Market Fund(s) |
| ☐ CD(s) | ☐ Equity - OTC | ☐ Mutual Fund(s) |
| ☐ Commodity Option(s) | ☐ Equity Listed (Common & Preferred Stock) | ☐ No Product |
| ☐ Debt - Asset Backed | ☐ Futures - Commodity | ☐ Options |
| ☐ Debt - Corporate | ☐ Futures - Financial | ☐ Penny Stock(s) |
| ☐ Debt - Government | ☐ Index Option(s) | ☐ Unit Investment Trust(s) |
| ☐ Debt - Municipal | ☐ Insurance | ☐ Other _____ |

Other Product Types:

5. Formal Action was brought in (include name of Federal, State or Foreign Court, Location of Court - City or County and State or Country, Docket/Case Number):

6. *Control Affiliate* Employing Firm when activity occurred which led to the civil judicial action (if applicable):

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

8. Current Status? ☐ Pending ☐ On Appeal ☐ Final

9. If on appeal, action appealed to (provide name of court): Date Appeal Filed (MM/DD/YYYY):

10. If pending, date notice/process was served (MM/DD/YYYY):

☐ Exact ☐ Explanation

If not exact, provide explanation: _____

(continued)

(continuation)

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BANKRUPTCY / SIPC DISCLOSURE REPORTING PAGE (BD)

GENERAL INSTRUCTIONS

This Disclosure Reporting Page (DRP BD) is an ☐ INITIAL **OR** ☐ AMENDED response used to report details for affirmative responses to **Item 11I** of Form BD;

Check ☒ item(s) being responded to:

11I In the past ten years has the *applicant* or a *control affiliate* of the *applicant* ever been a securities firm or a *control affiliate* of a securities firm that:

☐ (1) has been the subject of a bankruptcy petition?

☐ (2) has had a trustee appointed or a direct payment procedure initiated under the Securities Investor Protection Act?

Use a separate **DRP** for each event or *proceeding*. An event or *proceeding* may be reported for more than one *person* or entity using one **DRP**. File with a completed Execution Page.

It is not a requirement that documents be provided for each event or *proceeding*. Should they be provided, they will not be accepted as disclosure in lieu of answering the questions on this **DRP**.

If a *control affiliate* is an individual or organization registered through the CRD, such *control affiliate* need only complete Part I of the *applicant's* appropriate **DRP** (BD). Details of the event must be submitted on the *control affiliate's* appropriate **DRP** (BD) or **DRP** (U-4). If a *control affiliate* is an individual or organization not registered through the CRD, provide complete answers to all the items on the *applicant's* appropriate **DRP** (BD). The completion of this **DRP** does not relieve the *control affiliate* of its obligation to update its CRD records.

PART I

A. The *person(s)* or entity(ies) for whom this **DRP** is being filed is (are):

☐ The *Applicant*

☐ *Applicant* and one or more *control affiliate(s)*

☐ One or more *control affiliate(s)*

If this **DRP** is being filed for a *control affiliate*, give the full name of the *control affiliate* below (for individuals, Last name, First name, Middle name).

If the *control affiliate* is registered with the CRD, provide the CRD number. If not, indicate "non-registered" by checking the appropriate checkbox.

NAME OF APPLICANT

APPLICANT CRD NUMBER

BD **DRP** - CONTROL AFFILIATE

CRD NUMBER

This *Control Affiliate* is ☐ Firm ☐ Individual

Registered: ☐ Yes ☐ No

NAME (For individuals, Last, First, Middle)

☐ This **DRP** should be removed from the BD record because the *control affiliate(s)* are no longer associated with the BD.

B. If the *control affiliate* is registered through the CRD, has the *control affiliate* submitted a **DRP** (with Form U-4) or **BD **DRP**** to the CRD System for the event? If the answer is "Yes," no other information on this **DRP** must be provided.

☐ Yes ☐ No

NOTE: The completion of this Form does not relieve the *control affiliate* of its obligation to update its CRD records.

PART II

1. Action Type: (check appropriate item)

☐ Bankruptcy ☐ Declaration ☐ Receivership

☐ Compromise ☐ Liquidated ☐ Other _____

2. Action Date (MM/DD/YYYY): _____ ☐ Exact ☐ Explanation

If not exact, provide explanation: _____

(continued)

(continuation)

-

☐ Yes ☐ No

-

- ☐ Yes ☐ No

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

- | |
|--|
| |
|--|

If not exact, provide explanation: _____

- ---

☐ Yes ☐ No

--

If not exact, provide explanation: _____

-
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BOND DISCLOSURE REPORTING PAGE (BD)

GENERAL INSTRUCTIONS

This Disclosure Reporting Page (DRP BD) is an ☐ INITIAL **OR** ☐ AMENDED response used to report details for affirmative responses to **Item 11J** of Form BD;

Check ☒ item(s) being responded to:

11J ☐ Has a bonding company ever denied, paid out on, or revoked a bond for the *applicant*?

Use a separate DRP for each event or *proceeding*. An event or *proceeding* may be reported for more than one *person* or entity using one DRP. File with a completed Execution Page.

It is not a requirement that documents be provided for each event or *proceeding*. Should they be provided, they will not be accepted as disclosure in lieu of answering the questions on this DRP.

NAME OF APPLICANT

APPLICANT CRD NUMBER

1. Firm Name: (Policy Holder)

2. Bonding Company Name:

--

3. Disposition Type: (check appropriate item)

☐ Denied ☐ Payout ☐ Revoked

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

--	--

☐ Exact ☐ Explanation

If not exact, provide explanation: _____

5. If disposition resulted in Payout, list Payout Amount and Date Paid:

6. Summarize the details of circumstances leading to the necessity of the bonding company action: (The information must fit within the space provided.)

[illegible]

JUDGMENT / LIEN DISCLOSURE REPORTING PAGE (BD)

GENERAL INSTRUCTIONS

This Disclosure Reporting Page (DRP BD) is an ☐ INITIAL **OR** ☐ AMENDED response used to report details for affirmative responses to **Item 11K** of Form BD;

Check ☒ item(s) being responded to:

11K ☐ Does the *applicant* have any unsatisfied judgments or liens against it?

Use a separate DRP for each event or *proceeding*. An event or *proceeding* may be reported for more than one *person* or entity using one DRP. File with a completed Execution Page.

It is not a requirement that documents be provided for each event or *proceeding*. Should they be provided, they will not be accepted as disclosure in lieu of answering the questions on this DRP.

NAME OF APPLICANT

APPLICANT CRD NUMBER

1. Judgment/Lien Amount:

2. Judgment/Lien Holder:

3. Judgment/Lien Type: (check appropriate item)

☐ Civil ☐ Default ☐ Tax

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

☐ Exact ☐ Explanation

If not exact, provide explanation: _____

5. Is Judgment/Lien outstanding?

☐ Yes ☐ No

If No, provide status date (MM/DD/YYYY):

☐ Exact ☐ Explanation

If not exact, provide explanation: _____

If No, how was matter resolved? (check appropriate item)

☐ Discharged ☐ Released ☐ Removed ☐ Satisfied

6. Court (Name of Federal, State or Foreign Court), Location of Court (City or County and State or Country) and Docket/Case Number:

7. Provide a brief summary of events leading to the action and any payment schedule details including current status (if applicable). (The information must fit within the space provided.):
