INDIVIDUAL NAME:
INDIVIDUAL ID #:

U6 – SUBJECT OF ACTION

FIRST NAME:	**MIDDLE NAME:**	**LAST NAME:**
SUFFIX:	**ALIAS:**	
DOB (DD/MM/YYYY):	**SSN:**	**INDIVIDUAL #:**

RESIDENTIAL STREET ADDRESS LINE 1:		**RESIDENTIAL STREET ADDRESS LINE 2:**	
CITY:	**STATE:**	**COUNTRY:**	**ZIP/POSTAL CODE:**
RESIDENTIAL STREET ADDRESS LINE 1:		**RESIDENTIAL STREET ADDRESS LINE 2:**	
CITY:	**STATE:**	**COUNTRY:**	**ZIP/POSTAL CODE:**
BUSINESS STREET ADDRESS LINE 1:		**BUSINESS STREET ADDRESS LINE 2:**	
CITY:	**STATE:**	**COUNTRY:**	**ZIP/POSTAL CODE:**
REGULATOR CONTACT:		**REGULATOR PHONE NUMBER:**	

INDIVIDUAL NAME:

INDIVIDUAL ID #:

DISCLOSURE REPORTING PAGES

U6 - BANKRUPTCY/SIPC/COMPROMISE WITH CREDITORS DRP

Rev. DRP (05/2009)

This Disclosure Reporting Page is an ☐ **INITIAL** or ☐ **AMENDED**

1. Action Type (select appropriate item):

   O Bankruptcy [Circle one: Chapter 7, Chapter 11, Chapter 13, Other]

   O Compromise O Declaration O Liquidation O Receivership O Other:_____

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

   If not exact, provide explanation:

3. If the financial action relates to an organization over which the subject exercise(d) *control*, provide:

   A. Organization Name:_____

   B. Position, title or relationship:_____

   C. *Investment-related* business? O Yes O No

4. Court action brought in: O Federal Court O State Court O Foreign Court O Other:_____

   A. Name of Court:_____

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

   C. Docket/Case#:_____

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

5. Is action currently pending? O Yes O No

6. If not pending, provide Disposition Type (select appropriate item):

   O Direct Payment Procedure O Discharged O Dismissed O Dissolved O SIPA Trustee Appointed

   O Satisfied/Released O Other:_____

7. Disposition Date (MM/DD/YYYY):_____ O Exact O Explanation

   If not exact, provide explanation:

8. If a compromise with creditors, provide:

   A. Name of Creditor:_____

   B. Original amount owed: $_____

   C. Terms/Compromise reached with creditor:

9. If a SIPA trustee was appointed or a direct payment procedure was begun:

   A. Provide the amount paid or agreed to be paid by the subject: $_____ ; or

   The name of the Trustee:_____

   B. Currently Open? O Yes O No

   C. Date Direct Payment Initiated/Filed or Trustee Appointed

   (MM/DD/YYYY):_____ O Exact O Explanation

   If not exact, provide explanation:

10. Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the action as well as the current status or final disposition. Include the details as to creditors, terms, conditions, amounts due and settlement schedule (if applicable). Your information must fit within the space provided.

INDIVIDUAL NAME:

INDIVIDUAL ID #:

U6 - CIVIL JUDICIAL DRP

Rev. DRP (05/2009)

This Disclosure Reporting Page is an ☐**INITIAL** or ☐**AMENDED**

1. Court Action initiated by:
   A. (Select appropriate item):
   O SEC O Other Federal Agency O *Jurisdiction* O *Foreign Financial Regulatory Authority* O *Firm* O Private Plaintiff
   B. Name of party initiating the proceeding:_____

2. Relief Sought: (select all that apply):
   ☐ Cease and Desist ☐ Injunction ☐ Restraining Order
   ☐ Civil and Administrative Penalty(ies)/Fine(s) ☐ Monetary Penalty other than Fines ☐ Other:_____
   ☐ Disgorgement ☐ Restitution

3. A. Filing Date of Court Action (MM/DD/YYYY):_____ O Exact O Explanation
   If not exact, provide explanation:

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

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

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

5. Formal Action was brought in:
   O Federal Court O State Court O Foreign Court O Military Court O Other:_____
   A. Name of Court:_____
   B. Location of Court (City or County and State or Country):_____
   C. Docket/Case#:_____

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

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

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

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

INDIVIDUAL NAME:

INDIVIDUAL ID #:

U6 - CIVIL JUDICIAL DRP (CONTINUED)

Rev. DRP (05/2009)

10. If on appeal:
    A. Action appealed to (provide name of court):_____
    B. Court Location:_____
    C. Docket/Case#:_____
    D. Date appeal filed (MM/DD/YYYY):_____ O Exact O Explanation
    If not exact, provide explanation:

    E. Appeal details (including status):

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

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

11. Resolution Detail:
    A. How was matter resolved? (select appropriate item):
    O Consent O Judgment Rendered O Settled
    O Vacated O Vacated Nunc Pro Tunc / ab initio O Dismissed
    O Withdrawn O Other:_____
    B. Resolution Date (MM/DD/YYYY):_____ O Exact O Explanation
    If not exact, provide explanation:

12. Sanction Detail:
    A. Were any of the following Sanctions Ordered or Relief Granted? (select all that apply):
    ☐ Civil and Administrative Penalty(ies)/Fine(s) ☐ Injunction
    ☐ Cease and Desist ☐ Monetary Penalty other than fines
    ☐ Disgorgement ☐ Restitution
    B. Other Sanctions:_____
    C. If *enjoined*, provide:

Injunction Details

Registration Capacities Affected (e.g., General Securities Principal, Financial Operations Principal, All Capacities, etc.):

Duration (length of time):_____ O Exact O Explanation
If not exact, provide explanation:

Start Date (MM/DD/YYYY):_____ O Exact O Explanation
If not exact, provide explanation:

End Date (MM/DD/YYYY):_____ O Exact O Explanation
If not exact, provide explanation:

INDIVIDUAL NAME:

INDIVIDUAL ID #:

U6 - CIVIL JUDICIAL DRP (CONTINUED)

Rev. DRP (05/2009)

Injunction Details

Registration Capacities Affected (e.g., General Securities Principal, Financial Operations Principal, All Capacities, etc.):

Duration (length of time):_____ O Exact O Explanation
If not exact, provide explanation:

Start Date (MM/DD/YYYY):_____ O Exact O Explanation
If not exact, provide explanation:

End Date (MM/DD/YYYY):_____ O Exact O Explanation
If not exact, provide explanation:

Injunction Details

Registration Capacities Affected (e.g., General Securities Principal, Financial Operations Principal, All Capacities, etc.):

Duration (length of time):_____ O Exact O Explanation
If not exact, provide explanation:

Start Date (MM/DD/YYYY):_____ O Exact O Explanation
If not exact, provide explanation:

End Date (MM/DD/YYYY):_____ O Exact O Explanation
If not exact, provide explanation:

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

Monetary Related Sanction Details

Monetary Related Sanction Type: O Monetary Fine O Disgorgement O Restitution O Other (requires explanation)
Explanation:

Total Amount: $_____
Portion levied against the subject: $_____
Date Paid by the subject (MM/DD/YYYY):_____ O Exact O Explanation
If not exact, provide explanation:

Was any portion of penalty waived? O Yes O No
If yes, amount: $_____

INDIVIDUAL NAME:

INDIVIDUAL ID #:

U6 - CIVIL JUDICIAL DRP (CONTINUED)

Rev. DRP (05/2009)

Monetary Related Sanction Details

Monetary Related Sanction Type: O Monetary Fine O Disgorgement O Restitution O Other (requires explanation)
Explanation:

Total Amount: $_____
Portion levied against the subject: $_____
Date Paid by the subject
(MM/DD/YYYY):_____ O Exact O Explanation
If not exact, provide explanation:

Was any portion of penalty waived? O Yes O No
If yes, amount: $_____

Monetary Related Sanction Details

Monetary Related Sanction Type: O Monetary Fine O Disgorgement O Restitution O Other (requires explanation)
Explanation:

Total Amount: $_____
Portion levied against the subject: $_____
Date Paid by the subject
(MM/DD/YYYY):_____ O Exact O Explanation
If not exact, provide explanation:

Was any portion of penalty waived? O Yes O No
If yes, amount: $_____

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

INDIVIDUAL NAME:

INDIVIDUAL ID #:

U6 - CRIMINAL DRP

Rev. DRP (05/2009)

This Disclosure Reporting Page is an ☐ **INITIAL** or ☐ **AMENDED**

1. If charge(s) were brought against an organization over which the subject exercise(d) *control*:
   A. Organization Name:_____
   B. *Investment-related* business? O Yes O No
   C. Position, title or relationship:_____

2. Formal action was brought in:
   O Federal Court O State Court O Foreign Court O Military Court O Other:_____
   A. Name of Court:_____
   B. Location of Court (City or County and State or Country):_____
   C. Docket/Case#:_____

3. Event Status:
   A. Current status of the Event? O Pending O On Appeal O Final
   B. Event Status Date (complete unless status is pending) (MM/DD/YYYY):_____ O Exact O Explanation
   If not exact, provide explanation:

4. Event and Disposition Disclosure Detail (Use this for both organizational and individual charges.):
   A. Date First Charged (MM/DD/YYYY):_____ O Exact O Explanation
   If not exact, provide explanation:

   B. Event and Disposition Detail:

Charge Details (complete every field for each charge.)

Formal Charge/Description:

No. of Counts:_____

Felony or *Misdemeanor*: O *Felony* O *Misdemeanor*

Plea for each Charge:_____

Disposition of Charge:

O Acquitted O Dismissed O Pre-trial Intervention
O Amended O Found not guilty O Reduced
O Convicted O Pled guilty O Other (requires explanation)
O Deferred Adjudication O Pled not guilty

Explanation:

Date of Amended Charge, if applicable:_____

INDIVIDUAL NAME:

INDIVIDUAL ID #:

U6 - CRIMINAL DRP (CONTINUED)

Rev. DRP (05/2009)

If original charge was amended or reduced, specify new charge (i.e., list amended charge or reduced charge):

No. of Counts (for amended or reduced charge):_____

Specify if amended or reduced charge is a *Felony* or *Misdemeanor*: O *Felony* O *Misdemeanor* O Other:_____

Plea for each amended or reduced charge:_____

Disposition of amended or reduced charge:

O Acquitted
O Amended
O Convicted
O Deferred Adjudication
O Dismissed
O Found not guilty
O Pled guilty
O Pled not guilty
O Pre-trial Intervention
O Reduced
O Other (requires explanation)

Explanation:

Charge Details (complete every field for each charge.)

Formal Charge/Description:

No. of Counts:_____

Felony or *Misdemeanor*: O *Felony* O *Misdemeanor*

Plea for each Charge:_____

Disposition of Charge:

O Acquitted
O Amended
O Convicted
O Deferred Adjudication
O Dismissed
O Found not guilty
O Pled guilty
O Pled not guilty
O Pre-trial Intervention
O Reduced
O Other (requires explanation)

Explanation:

Date of Amended Charge, if applicable:_____

If original charge was amended or reduced, specify new charge (i.e., list amended charge or reduced charge):

No. of Counts (for amended or reduced charge):_____

Specify if amended or reduced charge is a *Felony* or *Misdemeanor*: O *Felony* O *Misdemeanor* O Other:_____

Plea for each amended or reduced charge:_____

Disposition of amended or reduced charge:

O Acquitted
O Amended
O Convicted
O Deferred Adjudication
O Dismissed
O Found not guilty
O Pled guilty
O Pled not guilty
O Pre-trial Intervention
O Reduced
O Other (requires explanation)

Explanation:

INDIVIDUAL NAME:

INDIVIDUAL ID #:

U6 - CRIMINAL DRP (CONTINUED)

Rev. DRP (05/2009)

Charge Details (complete every field for each charge.)

Formal Charge/Description:

No. of Counts:_____

Felony or *Misdemeanor*: O *Felony* O *Misdemeanor*

Plea for each Charge:_____

Disposition of Charge:

O Acquitted
O Amended
O Convicted
O Deferred Adjudication
O Dismissed
O Found not guilty
O Pled guilty
O Pled not guilty
O Pre-trial Intervention
O Reduced
O Other (requires explanation)

Explanation:

Date of Amended Charge, if applicable:_____

If original charge was amended or reduced, specify new charge (i.e., list amended charge or reduced charge):

No. of Counts (for amended or reduced charge):_____

Specify if amended or reduced charge is a Felony or Misdemeanor: O *Felony* O *Misdemeanor* O Other:_____

Plea for each amended or reduced charge:_____

Disposition of amended or reduced charge:

O Acquitted
O Amended
O Convicted
O Deferred Adjudication
O Dismissed
O Found not guilty
O Pled guilty
O Pled not guilty
O Pre-trial Intervention
O Reduced
O Other (requires explanation)

Explanation:

C. Date of Disposition (MM/DD/YYYY):_____ O Exact O Explanation

If not exact, provide explanation:

D. Sentence/Penalty; Duration (if suspension, probation, etc): Start Date of Penalty: (MM/DD/YYYY); End date of Penalty: (MM/DD/YYYY); If Monetary penalty/fine - Amount paid; Date monetary/penalty fine paid: (MM/DD/YYYY) if not exact, provide explanation.

5. Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the charge(s) as well as the current status or final disposition. Include the relevant dates when the conduct that was the subject of the charge(s) occurred. Include the number of investors in the reporting jurisdiction, the total number of investors in the program, the amount invested in the reporting jurisdiction, the total amount invested and whether the action is based on a referral or *investigation* from your securities division. Your information must fit within the space provided.

INDIVIDUAL NAME:

INDIVIDUAL ID #:

U6 - REGULATORY ACTION DRP

Rev. DRP (05/2009)

This Disclosure Reporting Page is an ☐ **INITIAL** or ☐ **AMENDED**

1. Regulatory Action initiated by:
   A. (Select appropriate item):

   O SEC O Other Federal Agency O *Jurisdiction* O *SRO* O CFTC O *Foreign Financial Regulatory Authority*
   O *Federal Banking Agency* O National Credit Union Administration O Other:_____

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

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

☐Bar	☐Cease and Desist	☐Censure
☐Civil and Administrative Penalty(ies)/Fine(s)	☐Denial	☐Disgorgement
☐Expulsion	☐Monetary Penalty other than Fines	☐Prohibition
☐Reprimand	☐Requalification	☐Rescission
☐Restitution	☐Revocation	☐Suspension
☐Undertaking	☐Other:_____	

3. Date Initiated (MM/DD/YYYY):_____ O Exact O Explanation
   If not exact, provide explanation:

4. Docket/Case#:_____

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

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

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

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

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

9. If pending, are there any limitations or restrictions currently in effect? O Yes O No
   If the answer is 'yes', provide details:

INDIVIDUAL NAME:

INDIVIDUAL ID #:

U6 - REGULATORY ACTION DRP (CONTINUED)

Rev. DRP (05/2009)

10. If on appeal:

A. Action appealed to:

O SEC O *SRO* O CFTC O Federal Court O State Agency or Commission O State Court

O Other:_____

B. Date appeal filed (MM/DD/YYYY):_____ O Exact O Explanation

If not exact, provide explanation:

C. Are there any limitations or restrictions currently in effect while on appeal? O Yes O No

If the answer is 'yes', provide details:

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

11. Resolution Detail:

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

O Acceptance, Waiver & Consent (AWC) O Consent O Decision

O Decision & Order of Offer of Settlement O Dismissed O Order

O Settled O Stipulation and Consent O Vacated

O Vacated Nunc Pro Tunc/ab initio O Withdrawn

O Other:_____

B. Resolution Date (MM/DD/YYYY):_____ O Exact O Explanation

If not exact, provide explanation:

12. Does the order constitute a *final order* based on violations of any laws or regulations that prohibit fraudulent, or deceptive conduct? O Yes O No

13. Sanction Detail:

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

☐ Bar (Permanent) ☐ Bar (Temporary/Time Limited) ☐ Cease and Desist

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

☐ Disgorgement ☐ Expulsion ☐ Letter of Reprimand

☐ Monetary Penalty other than Fines ☐ Prohibition ☐ Requalification

☐ Rescission ☐ Restitution ☐ Revocation

☐ Suspension ☐ Undertaking

B. Other sanctions ordered:_____

C. If the regulator provided in Question 1A above is the SEC, CFTC, an *SRO*, did the action result in a finding of a willful violation or failure to supervise? O Yes O No

If yes, was the subject *found* to have:

(1) 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 to have been unable to comply with any provision of such Act, rule or regulation? O Yes O No

(2) 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? O Yes O No

(3) failed reasonably to supervise another person subject to the subject's supervision, with a view to preventing the violation by such 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? O Yes O No

INDIVIDUAL NAME:

INDIVIDUAL ID #:

U6 - REGULATORY ACTION DRP (CONTINUED)

Rev. DRP (05/2009)

D. If suspended or barred, provide:

Sanction Details

Sanction type: O Bar (Permanent) O Bar (Temporary/Time Limited) O Suspension

Registration Capacities affected (e.g., General Securities Principal, Financial Operations Principal, All Capacities, etc.):

Duration (length of time):_____ O Exact O Explanation

If not exact, provide explanation:

Start Date (MM/DD/YYYY):_____ O Exact O Explanation

If not exact, provide explanation:

End Date (MM/DD/YYYY):_____ O Exact O Explanation

If not exact, provide explanation:

Sanction Details

Sanction type: O Bar (Permanent) O Bar (Temporary/Time Limited) O Suspension

Registration Capacities affected (e.g., General Securities Principal, Financial Operations Principal, All Capacities, etc.):

Duration (length of time):_____ O Exact O Explanation

If not exact, provide explanation:

Start Date (MM/DD/YYYY):_____ O Exact O Explanation

If not exact, provide explanation:

End Date (MM/DD/YYYY):_____ O Exact O Explanation

If not exact, provide explanation:

Sanction Details

Sanction type: O Bar (Permanent) O Bar (Temporary/Time Limited) O Suspension

Registration Capacities affected (e.g., General Securities Principal, Financial Operations Principal, All Capacities, etc.):

Duration (length of time):_____ O Exact O Explanation

If not exact, provide explanation:

Start Date (MM/DD/YYYY):_____ O Exact O Explanation

If not exact, provide explanation:

INDIVIDUAL NAME:

INDIVIDUAL ID #:

U6 - REGULATORY ACTION DRP (CONTINUED)

Rev. DRP (05/2009)

End Date (MM/DD/YYYY):_____ O Exact O Explanation

If not exact, provide explanation:

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

Requalification Details

Requalification type: O Requalification by Exam O Re-Training O Other

Length of time given to requalify/retrain:_____

Type of Exam required:_____

Has condition been satisfied? O Yes O No

Explanation:

Requalification Details

Requalification type: O Requalification by Exam O Re-Training O Other

Length of time given to requalify/retrain:_____

Type of Exam required:_____

Has condition been satisfied? O Yes O No

Explanation:

Requalification Details

Requalification type: O Requalification by Exam O Re-Training O Other

Length of time given to requalify/retrain:_____

Type of Exam required:_____

Has condition been satisfied? O Yes O No

Explanation:

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

Monetary Sanction Details

Monetary Related Sanction Type: O Civil and Administrative Penalty(ies)/Fine(s) O Disgorgement O Monetary Penalty other than Fines O Restitution

Total Amount: $_____

Portion Levied against the subject: $_____

Payment Plan:

Is Payment Plan Current? O Yes O No

Date Paid by the subject (MM/DD/YYYY):_____ O Exact O Explanation

If not exact, provide explanation:

Was any portion of penalty waived? O Yes O No

If yes, amount: $_____

INDIVIDUAL NAME:

INDIVIDUAL ID #:

U6 - REGULATORY ACTION DRP (CONTINUED)

Rev. DRP (05/2009)

Monetary Sanction Details

Monetary Related Sanction Type: O Civil and Administrative Penalty(ies)/Fine(s) O Disgorgement O Monetary Penalty other than Fines O Restitution

Total Amount: $_____

Portion Levied against the subject: $_____

Payment Plan:

Is Payment Plan Current? O Yes O No

Date Paid by the subject (MM/DD/YYYY):_____ O Exact O Explanation

If not exact, provide explanation:

Was any portion of penalty waived? O Yes O No

If yes, amount: $_____

Monetary Sanction Details

Monetary Related Sanction Type: O Civil and Administrative Penalty(ies)/Fine(s) O Disgorgement O Monetary Penalty other than Fines O Restitution

Total Amount: $_____

Portion Levied against the subject: $_____

Payment Plan:

Is Payment Plan Current? O Yes O No

Date Paid by the subject (MM/DD/YYYY):_____ O Exact O Explanation

If not exact, provide explanation:

Was any portion of penalty waived? O Yes O No

If yes, amount: $_____

14. Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the action as well as the current status or final disposition and/or finding(s). Include relevant terms, conditions and dates. Include the number of investors in the reporting jurisdiction, the total number of investors in the program, the amount invested in the reporting jurisdiction, the total amount invested and whether the action is based on a referral or *investigation* from your securities division. Your information must fit within the space provided.

INDIVIDUAL NAME:

INDIVIDUAL ID #:

U6 - SRO ARBITRATION DRP

Rev. DRP (05/2009)

This Disclosure Reporting Page is an ☐ **INITIAL** or ☐ **AMENDED**

1. Case Name: _____

2. Arbitration/Reparation filed with: _____

3. Date case was initiated (MM/DD/YYYY): _____

4. Docket/Case#: _____

5. Employing Firm when events occurred which led to the arbitration/reparation:

6. Allegation(s):

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

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

8. Alleged Compensatory Damage Amount: $_____

9. Is arbitration/reparation currently pending? **O** Yes **O** No

10. Resolution Details:

A. If status is not pending, how was arbitration/reparation resolved?

O Award **O** Denied **O** Dismissed **O** Other **O** Settled **O** Stipulated Award **O** Withdrawn

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

C. Disposition Details:

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