PRIMARY BUSINESS NAME:	ID NUMBER:

U6 - SUBJECT OF ACTION

ENTITY NAME:			ORG #:
DBA NAME:			
BUSINESS STREET ADDRESS LINE 1:		BUSINESS STREET ADDRESS LINE 2:	
CITY:	STATE:	COUNTRY:	ZIP/POSTAL CODE:

LEGAL STATUS OF SUBJECT:

O CORPORATION O SOLE PROPRIETORSHIP O OTHER (SPECIFY)_____

O PARTNERSHIP O LIMITED LIABILITY COMPANY

STATE OF FORMATION:	COUNTRY OF FORMATION:	DATE OF FORMATION (MM/DD/YYYY):

REGULATOR CONTACT:	REGULATOR PHONE NUMBER:

PRIMARY BUSINESS NAME:	ID NUMBER:

DISCLOSURE REPORTING PAGES

U6 - BANKRUPTCY/SIPC/COMPROMISE WITH CREDITORS DRP

Rev. DRP (06/2003)

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

IARD SEC Only
IA Disclosure Expiration Date: _____

1. Action Type: [Circle one: Bankruptcy, Compromise, Declaration, Liquidated, Other, Receivership]

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

3. If the financial action relates to an organization over which you exercise(d) *control*, enter Organization Name and your position, title or relationship:

Was the Organization *investment-related*? O Yes O No

4. Court (Name of Federal, State or Foreign Court), Location of Court (City or County and State or Country), Docket/Case Number and Bankruptcy Chapter Number (if Federal Bankruptcy Filing):

5. Is action currently pending? O Yes O No

6. If not pending, provide disposition type: [Circle one: Direct Payment Procedure, Discharged, Dismissed, Dissolved, Other, SIPA Trustee Appointed, Satisfied/Released]

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

8. Provide a brief summary of events leading to the action and if not discharged, explain. (The information must fit within the space provided.):

9. If a SIPA trustee was appointed or a direct payment procedure was begun, enter the amount paid or agreed to be paid by the subject; or the name of the trustee:

Currently Open? O Yes O No
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.

PRIMARY BUSINESS NAME:	ID NUMBER:

U6 - CIVIL JUDICIAL DRP

Rev. DRP (06/2003)

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

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

IARD SEC Only
IA Disclosure Expiration Date: _____

1. Court Action initiated by: (Name of regulator, *foreign financial regulatory authority*, *SRO*, commodities exchange, Agency, Firm, Private Plaintiff, etc.)

2. Principal Relief Sought: [Circle one: Cease and Desist, Civil Penalty(ies)/Fine(s), Disgorgement, Injunction, Money Damages (Private/Civil Complaint), Other, Restitution, Restraining Order]

   Other Relief Sought:

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

4. Principal Product Type: [Circle one: Annuity(ies) - Fixed, Annuity(ies) - Variable, Banking Products (Other than CD(s)), CD(s), Commodity Options(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 Options(s), Insurance, Investment Contract(s), Money Market Fund(s), Mutual Fund(s), No Product, Options, Other, Penny Stock(s), Unit Investment Trust(s)]

   Other Product Types:

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

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

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

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

9. If on appeal, action appealed to (provide name of court):

   Date Appeal Filed (MM/DD/YYYY): _____

PRIMARY BUSINESS NAME:	ID NUMBER:

U6 - CIVIL JUDICIAL DRP (CONTINUED)

Rev. DRP (06/2003)

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

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

11. How was matter resolved: [Circle one: Consent, Dismissed, Judgment Rendered, Opinion, Other, Settled, Withdrawn]

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

13. Resolution Detail:

A. Were any of the following Sanctions Ordered? (Check all appropriate items):

- ☐ Monetary/Fine Amount: $_____
- ☐ Disgorgement/Restitution
- ☐ Cease and Desist/Injunction
- ☐ Suspension
- ☐ Revocation/Expulsion/Denial
- ☐ Censure
- ☐ Bar

B. Other Sanctions:

C. Sanction detail: if suspended, *enjoined* or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against broker, date paid and if any portion of penalty was waived:

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 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.

PRIMARY BUSINESS NAME:	ID NUMBER:

U6 - CRIMINAL DRP

Rev. DRP (06/2003)

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

IARD SEC Only
IA Disclosure Expiration Date: _____

1. If charge(s) were brought against an organization over which the subject exercise(d) *control*: (Enter Organization Name, whether or not the organization was an *investment-related* business and the subject'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):_____ O Exact O 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*? O Yes O No

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

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

PRIMARY BUSINESS NAME:	ID NUMBER:

U6 - REGULATORY ACTION DRP

Rev. DRP (06/2003)

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

IARD SEC Only
IA Disclosure Expiration Date: _____

1. Regulatory Action initiated by: O SEC O Other O State O *SRO* O Foreign
   O *Federal Banking Agency* O National Credit Union Administration O Other

   Full name of regulator, *foreign financial regulatory authority*, Federal, State, *SRO*, commodities exchange or National Credit Union Administration)

2. Principal Sanction/Relief Sought: [Circle one: Bar, Cease and Desist, Censure, Civil and Administrative Penalty(ies)/Fine(s), Denial, Disgorgement, Expulsion, Injunction, Other, Prohibition, Reprimand, Restitution, Revocation, Suspension, Undertaking]

   Other Sanctions/Relief Sought:

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

4. Docket/Case Number: _____

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

6. Principal Product Type: [Circle one: Annuity(ies) - Fixed, Annuity(ies) - Variable, Banking Products (Other than CD(s)), CD(s), Commodity Options(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 Options(s), Insurance, Investment Contract(s), Money Market Fund(s), Mutual Fund(s), No Product, Options, Other, Penny Stock(s), Unit Investment Trust(s)]

   Other Product Types:

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

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

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

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

10. How was matter resolved: [Circle one: Acceptance, Waiver & Consent (AWC); Consent; Decision; Decision & Order of Offer of Settlement; Dismissed; Order; Other; Settled; Stipulation and Consent; Vacated; Withdrawn]

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

PRIMARY BUSINESS NAME:	ID NUMBER:

U6 - REGULATORY ACTION DRP (CONTINUED)

Rev. DRP (06/2003)

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

    If not exact, provide explanation:

13. Resolution Detail:

    A. Were any of the following Sanctions Ordered? (Check all appropriate items):

    O Monetary/Fine Amount: $_____
    O Disgorgement/Restitution
    O Cease and Desist/Injunction
    O Suspension
    O Revocation/Expulsion/Denial
    O Censure
    O Bar

    B. Other Sanctions Ordered:

    C. Sanction detail: if suspended, enjoined or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against the subject, date paid and if any portion of penalty was waived:

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.