

Form U-4

Uniform Application for Securities Industry Registration or Transfer

IMPORTANT
IN ORDER TO EXPEDITE PROCESSING, PLEASE FORWARD ALL
CRD MAILINGS TO THE FOLLOWING ADDRESS:

CRD
P.O. Box 9401
Gaithersburg, MD 20898-9401

HOW TO USE FORM U-4

How the Form Works

An individual applies for registration for the first time by filing a complete Form U-4 with the Central Registration Depository (CRD). After an individual has filed a complete Form U-4 with the CRD, a change of employment or association from one broker-dealer to another is effected by filing only pages 1, 3 and 4 of this form. Since the data contained on page 2 is primarily of an historical nature, it need not be resubmitted with each successive filing.

To keep the CRD current, page 1 (Item 12) requires the applicants to provide their current address and update their broker-dealer employment history to report the termination from their previous firm(s). This information will update the individual's record and lessen the probability of application deficiencies. Both initially and with each subsequent change of employment or association to another broker-dealer, the filing must be accompanied by a fingerprint card unless exempt from the fingerprint requirement pursuant to SEC Rule 17f-2.

Additionally, if the applicant has other changes to employment history (Item 19) or other affiliations (Item 20) which are not covered in Item 12, the new information should be submitted on page 2 along with the balance of the filing.

Information contained on Form U-4 must be kept current. As changes occur, the CRD should be updated by an amendment filing. Amendments are accomplished by filing the appropriate page(s) containing only the information in need of revision.

Complete Filings – File a complete Form U-4 if any of the following circumstances apply:

1. the applicant has never been registered;
2. the applicant has previously been registered but not within the last 120 calendar days;
3. the applicant has been continuously registered but has never filed a complete Form U-4 with the CRD; or
4. the applicant has been continuously registered, but has amendments to page 2 data not covered by Items 4 and 12 on page 1.

Partial Filings – In all other cases, file only pages 1, 3 and 4 of Form U-4.

The 120 calendar day time frame mentioned above has no bearing upon filing deadlines which are specified as part of the Temporary Agent Transfer Program (TAT). It only serves to specify the period during which a partial filing (pages 1, 3 and 4) is acceptable. Notwithstanding the applicability of the Temporary Agent Transfer Program, all individuals meeting the partial filing criteria should file only pages 1, 3 and 4. **For information regarding the TAT Program call NASD Regulation, Inc. at (301) 590-6500.**

Amendment Filings – Amendment filings are required to:

1. correct deficiencies in a previous filing;
2. update and keep current the information required by the form;
3. request additional registrations with jurisdictions or self-regulatory organizations; and
4. request an examination (See General Instructions Number 5).

Amendments are made by filing the appropriate page(s) of the form answering only the item(s) which are in need of revision. Each amendment page must be manually signed in accordance with the instructions found on the respective page(s).

Supplements to Form BD:

Page 2 of this form is required to be filed on behalf of any natural person listed on Schedule A, B or C of Form BD who does not require registration.

When filing Page 2 of this form for such an individual, the broker-dealer name must appear in the Business and Personal History section (Item 19) or in Item 20 as may apply. Signatures on these Page 2 filings are not required; however, the filing must be accompanied by an Execution Page of Form BD.

GENERAL INSTRUCTIONS

1. All information must be typed or neatly printed in BLACK INK.
2. All information required by Form U-4 must be submitted on the officially prescribed form, or mechanical reproduction thereof. All pages containing this information may be mechanically reproduced by any method

producing clear, legible copies of identical type size.

3. All questions must be answered. Enter "none" or "N/A" ("not applicable") where this is the appropriate response. Failure to complete all required items may cause the form to be returned unprocessed or considered deficient.
4. An applicant must use all space provided on the form before using the Form U-4 Attachment Sheet. Except for copies of supporting documents, additional and/or explanatory information must be submitted on the Form U-4 Attachment Sheet. Copied documents must be clearly identified with the applicant's name and CRD # or Social Security #, as well as the item # being answered.
5. All required signatures must be original. Mechanical reproductions of signatures will not be accepted. Page 1, when it is being used **only** to request an exam, requires no signature.
6. **An applicant is under a continuing obligation to update information required by Form U-4 as changes occur.** To amend information, file the appropriate page(s) of Form U-4 bearing the updated data.

EXPLANATION OF TERMS

(The following terms are italicized throughout this form.)

For purposes of filing this Form U-4:

The term **JURISDICTION** means a state, the District of Columbia, the Commonwealth of Puerto Rico, or any subdivision or regulatory body thereof.

The term **SELF-REGULATORY ORGANIZATION ("SRO")** means any national securities and commodities exchange, any national securities association (e.g., the NASD), or any registered clearing agency.

The term **CONTROL** means the power to direct or cause the direction of the management or policies of a company, whether through ownership of securities, by contract, or otherwise. Any individual or firm that is a director, partner, or officer exercising executive responsibility (or having similar status or functions) or that directly or indirectly has the right to vote 25 percent or more of the voting securities or is entitled to 25 percent or more of the profits is presumed to control that company.

The term **APPROPRIATE SIGNATORY** means the individual designated by the broker-dealer, investment adviser or issuer who is authorized to execute Form U-4 on its behalf. Such individual must meet the criteria, if any, for acting as the "appropriate signatory" as established by the *jurisdiction or self-regulatory organizations* requiring this form to be filed.

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

For purposes of Item 22 and the corresponding DRP:

The term **CHARGED** means being accused of a crime in a formal complaint, information, or indictment (or equivalent formal charge).

The term **INVOLVED** means doing an act or aiding, abetting, counseling, commanding, inducing, conspiring with or failing reasonably to supervise another in doing an act.

The term **FOREIGN FINANCIAL REGULATORY AUTHORITY** includes a foreign securities authority; 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-related* activities; or membership organization, a function of which is to regulate the participation of its members in *investment-related* activities listed above.

The term **ORDER** means 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.

The term **FELONY**, for *jurisdictions* that do not differentiate between a *felony* or *misdemeanor*, 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.

The term **MISDEMEANOR**, for *jurisdictions* that do not differentiate between a *felony* or *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.

The term **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.

A **MINOR RULE VIOLATION** is a violation of a *self-regulatory organization* rule which 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 \$2,500.00 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.

The term **INVESTIGATION** includes (a) grand jury investigations, (b) U.S. Securities and Exchange Commission investigations after the "Wells" notice has been given, (c) NASD Regulation, Inc. investigations after the "Wells" notice has been given or after a person associated with a member, as defined in The NASD By-Laws, has been advised by the staff that it intends to recommend formal disciplinary action or, (d) formal investigations by other SROs or, (e) actions or procedures designated as investigations by *jurisdictions*, but does not include subpoenas, preliminary or routine regulatory inquiries or requests for information, deficiency letters, "blue sheet" requests or other trading questionnaires, or examinations.

The term **PROCEEDING** includes a formal administrative or civil action initiated by a governmental agency, *self-regulatory organization* or *foreign financial regulatory authority*, a *felony* criminal indictment or information (or equivalent formal charge), or a *misdemeanor* criminal information (or equivalent formal charge), but does not include an arrest or similar charge effected in the absence of a formal criminal indictment or information (or equivalent formal charge). NOTE: *Investment-related* civil litigation, other than that specified above, is reportable under Item 22H on Form U-4. An *investigation* is reportable under Item 22I on Form U-4.

The term **SALES PRACTICE VIOLATIONS** shall include any conduct directed at or involving a customer which would constitute a violation of any rules for which a person could be disciplined by any *self-regulatory organization*; any provision of the Securities and Exchange Act of 1934; or any state statute prohibiting fraudulent conduct in connection with the offer, sale or purchase of a security or in connection with the rendering of investment advice.

The term **ENJOINED** includes being subject to a mandatory injunction, prohibitory injunction, preliminary injunction or a temporary restraining order.

The terms **RESIGN** or **RESIGNED** relate to separation from employment with any employer and are **not** restricted to *investment-related* employment. Include any termination in which the allegations are a proximate cause of the separation, even if the separation was initiated by you.

jurisdictions for the affiliates, a separate page 1 for each affiliate **must** accompany the application.

10. Indicate the self-regulatory organizations and *jurisdictions* where registration is being sought. The checking of a box in item #10 constitutes an application for registration via the CRD and will cause the applicable fee to be charged to the broker-dealer's CRD account.

In the case of a Temporary Agent Transfer (TAT), failure to check those jurisdictions and self-regulatory organizations for which a TAT is in effect will result in expiration without registration.

However, additional registrations may be requested in the same filing.

11. An applicant may apply for one or more categories of registration in a filing with the CRD. If an applicant does not qualify for the category of registration requested, the required examination will be scheduled and the examination fee(s) charged to the broker-dealer's CRD account.

The "Reschedule Exam Series" box should be used to:

1. request re-examination, or
2. schedule an examination for an individual whose current exam qualifications are not accepted by a specific jurisdiction or self-regulatory organization.

12. **Item 12 must be completed in all partial filings.**

Items 13 through 22 must be completed by applicant.

15. Include any names by which you are or have been known other than your current legal name. This includes any nicknames, maiden names or married names by which you are now or have been known since adulthood.

20. The following information should be furnished:

1. the full name and address of the business;
2. the nature of the business;
3. your title or position;
4. a brief description of your duties;
5. the amount of time you devote to the business; and
6. whether it is during securities trading hours.

22. Use the Disclosure Reporting Page(s) (DRP) attached to this form for providing details to "Yes" answers.

Although documents are not required with the DRP, you may wish to include them, as CRD regulatory participants may request them as part of the approval process in their jurisdiction.

INSTRUCTIONS FOR COMPLETION OF DISCLOSURE CERTIFICATION ITEM 22O

The certification boxes contained on Page 3, Item 22O, allow you to certify that all disclosable information on your record is complete, accurate, and in DRP format. You must review a copy of your disclosure file taken from the CRD system to determine that DRPs are on file and that all details are fully provided and accurate. Use of the certification is optional, and if utilized, you must still answer the appropriate questions in Item 22A-N, and only submit DRPs for new or updated information. **You may not take advantage of the certification if you have never before been registered with the NASD, or if DRPs have not been submitted for all previously disclosed information. If that is the case, answer all appropriate questions in Item 22A-N, leave Item 22O blank, and submit all details on fully completed DRPs.**

SPECIFIC INSTRUCTIONS

Items 1-12 must be completed by employer.

Item

5. Specify applicant's initial date (month, day and year) of employment or association with the firm.
8. If the answer to Item 8 is "Yes", consult the rules and statutes of the appropriate self-regulatory organizations and jurisdictions for prohibitions and liability provisions. Employment with other broker-dealers must be listed in the Business and Personal History item on page 2.
9. When an applicant seeks **simultaneous** registration with more than one broker-dealer under common ownership or control, list the primary broker-dealer under Item 4 and affiliated firms under Item 9. If the registrations requested under Item 10 are common to all firms, the CRD will process them from this single form filing. However, if the applicant seeks registration with a different set of self-regulatory organizations and

FORM U-4

UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER

If there is an amendment to this page, complete only Items 1, 2, 3, 4 and Items being amended.

① LAST NAME JR./SR. etc.		FIRST NAME		MIDDLE NAME (SPECIFY IF NONE)	② APPLICANT'S CRD #
③ FIRM CRD #		④ FIRM NAME (Do not include this employment under item 19, page 2)			SOC. SEC. #
FIRM NFA #					APPLICANT'S NFA #
⑥ FIRM MAIN ADDRESS		STREET		CITY	⑤ EMPLOYMENT DATE
				STATE	ZIP
⑦ BRANCH I.D. #	OFFICE OF EMPLOYMENT ADDRESS		STREET	CITY	STATE
					ZIP

⑧ Will applicant maintain registration with another Broker-Dealer not under common ownership or control with the firm named in Item 4 above? ☐ Yes ☐ No
(If "Yes", list in item 19)
If "Yes", has/have the firm(s) been contacted? ☐ Yes ☐ No

⑨ Will applicant maintain multiple registrations with Broker-Dealers under common ownership or control with the firm named in Item 4 above? ☐ Yes ☐ No
If "Yes", fill in information below:

Firm CRD # _____ Name of Firm _____
Firm CRD # _____ Name of Firm _____
Firm CRD # _____ Name of Firm _____

⑩ TO BE REGISTERED WITH THE FOLLOWING:

S R O J U R I S D I C T I O N	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
	ASE	BSE	CBOE	CSE	MSE	NASD	NFA	NYSE	PHLX	PSE	OTHER (Specify) _____		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	AK	AL	AR	AZ	CA	CO	CT	DC	DE	FL	GA	HI	IA
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ID	IL	IN	KS	KY	LA	MA	MD	ME	MI	MN	MO	MS	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
MT	NC	ND	NE	NH	NJ	NM	NV	NY	OH	OK	OR	PA	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
RI	SC	SD	TN	TX	UT	VA	VT	WA	WI	WV	WY	PR	

All Jurisdictions.
(Check In Lieu Of
Each Individual
Box).

⑪ TYPE OF EXAMINATION/REGISTRATION REQUESTED (check all applicable categories)

- | | |
|---|--|
| <input type="checkbox"/> S-3 Commodity Futures Examination | <input type="checkbox"/> S-39 (DP) Direct Participation Program Principal |
| <input type="checkbox"/> S-4 (OP) Registered Options Principal | <input type="checkbox"/> S-42 (OR) Options Representative |
| <input type="checkbox"/> S-5 Interest Rate Options Examination | <input type="checkbox"/> S-52 (MR) Municipal Securities Representative |
| <input type="checkbox"/> S-6 (IR) Investment Company and Variable Contracts Products Representative | <input type="checkbox"/> S-53 (MP) Municipal Securities Principal |
| <input type="checkbox"/> S-7 (GS) Full Registration/General Securities Representative | <input type="checkbox"/> S-62 (CS) Corporate Securities Representative |
| <input type="checkbox"/> S-7 (TR) Securities Trader (NYSE) | <input type="checkbox"/> S-63 Uniform Securities Agent State Law Examination |
| <input type="checkbox"/> S-7 (TS) Trading Supervisor (NYSE) | <input type="checkbox"/> S-65 Uniform Investment Advisor Law Examination |
| <input type="checkbox"/> S-8 (SU) General Securities Sales Supervisor | <input type="checkbox"/> (AG) Agent |
| <input type="checkbox"/> S-8 (BM) Branch Office Manager (NYSE) | <input type="checkbox"/> (RG) Government Securities Representative |
| <input type="checkbox"/> S-11 (AR) Assistant Representative/Order Processing | <input type="checkbox"/> (PG) Government Securities Principal |
| <input type="checkbox"/> S-15 (FC) Foreign Currency Options | <input type="checkbox"/> (ME) Member Exchange (NYSE) |
| <input type="checkbox"/> S-16 (SA) Supervisory Analyst | <input type="checkbox"/> (LE) Securities Lending Representative (NYSE) |
| <input type="checkbox"/> S-22 (DR) Direct Participation Program Representative | <input type="checkbox"/> (LS) Securities Lending Supervisor (NYSE) |
| <input type="checkbox"/> S-24 (GP) General Securities Principal | <input type="checkbox"/> (AM) Allied Member (NYSE) |
| <input type="checkbox"/> S-26 (IP) Investment Company and Variable Contracts Products Principal | <input type="checkbox"/> (AP) Approved Person (NYSE) |
| <input type="checkbox"/> S-27 (FN) Financial and Operations Principal | <input type="checkbox"/> (AI) Agent of the Issuer |
| <input type="checkbox"/> S-28 (FI) Introducing Broker-Dealer/Financial and Operations Principal | <input type="checkbox"/> Reschedule Exam Series _____ |
| | <input type="checkbox"/> Other _____ |

THIS PORTION MUST BE COMPLETED FOR ALL PARTIAL (TRANSFER OR RE REGISTRATION) FILINGS

⑫ APPLICANT'S CURRENT ADDRESS: _____				FROM MONTH YEAR	
FIRM(S) APPLICANT IS TRANSFERRING FROM: _____				TERMINATION DATE: (Mo/Day/Yr.)	
_____				_____	
_____				_____	
<input type="checkbox"/> CHECK IF THIS U-4 IS BEING FILED TO MAKE PERMANENT A TEMPORARY REGISTRATION (TAT).					

The appropriate signatory area **DOES NOT** have to be completed **UNLESS** this page is being submitted as an amendment.

MONTH DAY YEAR SIGNATURE OF APPROPRIATE SIGNATORY

TYPE OR PRINT NAME OF APPROPRIATE SIGNATORY

CRD USE ONLY

FORM U-4

UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER

If there is an amendment to this page, complete only Items 13, 14 and the Items being amended.

13 FIRM CRD # FIRM NFA #	SOCIAL SECURITY #	APPLICANT'S CRD # APPLICANT'S NFA #
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PERSONAL DATA

14 LAST NAME	JR./SR., etc.	FIRST NAME	MIDDLE NAME	15 OTHER NAMES KNOWN BY
16 DATE OF BIRTH (Month, Day, Year)	17 SEX	HEIGHT	WEIGHT	HAIR COLOR
				EYE COLOR

RESIDENTIAL HISTORY

18 GIVE ALL ADDRESSES FOR THE PAST FIVE YEARS, STARTING WITH CURRENT ADDRESS.

STREET	CITY	STATE	ZIP	FROM MONTH	YEAR	TO MONTH	YEAR
							PRESENT

EMPLOYMENT AND PERSONAL HISTORY

19 ACCOUNT FOR ALL TIME FOR THE PAST TEN YEARS. Give all employment experience starting with your previous employer and working back ten years. Include full and part-time work, self-employment, military service, unemployment and full-time education. (If this page is being filed as part of a Form BD, start with your present employer instead.)

NAME	CITY	STATE	FROM MONTH	YEAR	TO MONTH	YEAR	POSITION HELD

20 Are you currently engaged in any other business (not shown above) either as a proprietor, partner, officer, director, trustee, employee, agent or otherwise?
☐ YES ☐ NO If "YES", please explain below:

The appropriate signatory area **DOES NOT** have to be completed **UNLESS** this page is being submitted as an amendment.

MONTH DAY YEAR SIGNATURE OF APPROPRIATE SIGNATORY

TYPE OR PRINT NAME OF APPROPRIATE SIGNATORY

CRD USE ONLY

If there is an amendment to this page, complete only item 21 and items being amended

(21) FIRM CRD #	FIRM NFA #	SOCIAL SECURITY #	APPLICANT'S CRD #	APPLICANT'S NFA #
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IF THE ANSWER TO ANY OF THE FOLLOWING QUESTIONS IS "YES" AND YOU CANNOT UTILIZE THE CERTIFICATION IN ITEM 220 BELOW, ATTACH COMPLETE DETAILS OF ALL EVENTS OR PROCEEDINGS ON DRP(S).

REFER TO THE EXPLANATION OF TERMS SECTION OF FORM U-4 INSTRUCTIONS FOR EXPLANATIONS OF ITALICIZED TERMS.

<p>22A Have you, or based upon activities that occurred while you exercised control over it, has an organization ever been convicted of or plead guilty or nolo contendere ("no contest") in a domestic, foreign or military court to:</p> <p>(1) a <i>felony</i> or <i>misdemeanor</i> involving: investments or an <i>investment-related</i> business, or any fraud, false statements or omissions, wrongful taking of property, or bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses? YES NO</p> <p>(2) <i>This question intentionally left blank.</i></p> <p>(3) any other <i>felony</i>?</p> <p>22B Have you, or based upon activities that occurred while you exercised control over it, has an organization ever been charged with any <i>felony</i> or charged with a <i>misdemeanor</i> specified in question A in a domestic, foreign or military court?</p> <p>22C Has any domestic or foreign court ever:</p> <p>(1) <i>enjoined</i> you in connection with any <i>investment-related</i> activity?</p> <p>(2) (a) <i>found</i> that you were <i>involved</i> in a violation of any <i>investment-related</i> statute(s) or regulation(s) -OR-</p> <p>(b) dismissed, pursuant to a settlement agreement, an <i>investment-related</i> civil action brought against you by a state or foreign financial regulatory authority?</p> <p>22D Has the U.S. Securities and Exchange Commission or the Commodity Futures Trading Commission ever:</p> <p>(1) <i>found</i> you to have made a false statement or omission?</p> <p>(2) <i>found</i> you to have been <i>involved</i> in a violation of its regulations or statutes?</p> <p>(3) <i>found</i> you to have been a cause of an <i>investment-related</i> business having its authorization to do business denied, suspended, revoked, or restricted?</p> <p>(4) entered an <i>order</i> against you in connection with <i>investment-related</i> activity?</p> <p>(5) imposed a civil money penalty on you, or <i>ordered</i> you to cease and desist from any activity?</p> <p>22E Has any other Federal regulatory agency or any state regulatory agency or foreign financial regulatory authority ever (Note: This introduction to the question pertains to Items 22E (1-5) only):</p> <p>(1) <i>found</i> you to have made a false statement or omission or been dishonest, unfair or unethical?</p> <p>(2) <i>found</i> you to have been <i>involved</i> in a violation of <i>investment-related</i> regulation(s) or statute(s)?</p> <p>(3) <i>found</i> you to have been a cause of an <i>investment-related</i> business having its authorization to do business denied, suspended, revoked, or restricted?</p> <p>(4) entered an <i>order</i> against you in connection with <i>investment-related</i> activity?</p> <p>(5) denied, suspended, or revoked your registration or license or otherwise, by order, prevented you from associating with an <i>investment-related</i> business or restricted your activities?</p> <p>(6) Has your authorization to act as an attorney, accountant or federal contractor ever been revoked or suspended?</p> <p>22F Has any <i>self-regulatory organization</i> or commodities exchange ever:</p> <p>(1) <i>found</i> you to have made a false statement or omission?</p> <p>(2) <i>found</i> you to have been <i>involved</i> in a violation of its rules (other than a violation designated as a "<i>minor rule violation</i>" under a plan approved by the U.S. Securities and Exchange Commission)?</p> <p>(3) <i>found</i> you to have been the cause of an <i>investment-related</i> business having its authorization to do business denied, suspended, revoked or restricted?</p>	<p>1</p> <p>3</p> <p>4</p> <p>5</p> <p>6</p> <p>7</p> <p>8</p> <p>9</p> <p>10</p> <p>10A</p> <p>11</p> <p>12</p> <p>13</p> <p>14</p> <p>15</p> <p>16</p> <p>17</p> <p>18</p> <p>19</p>	<p>(4) disciplined you by expelling or suspending you from membership, barring or suspending your association with its members, or restricting your activities? YES NO</p> <p>22G Within the past twenty-four (24) months, have you been the subject of an <i>investment-related</i>, consumer-initiated, written complaint, not otherwise reported under questions 22H(1) or 22H(2) which:</p> <p>(1) alleged that you were <i>involved</i> in one or more <i>sales practice violations</i> and contained a claim for compensatory damages of \$5,000 or more [Note: if no damage amount is alleged, the complaint must be reported unless the firm has made a good faith determination that the damages from the alleged conduct would be less than \$5,000.] YES NO</p> <p style="text-align: center;">-OR-</p> <p>(2) alleged that you were <i>involved</i> in forgery, theft, misappropriation or conversion of funds or securities?</p> <p>22H (1) Have you ever been named as a respondent/defendant in an <i>investment-related</i>, consumer-initiated arbitration or civil litigation which alleged that you were <i>involved</i> in one or more <i>sales practice violations</i> and which:</p> <p>(a) is still pending, -OR-</p> <p>(b) resulted in an arbitration award or civil judgment against you, regardless of amount, -OR-</p> <p>(c) was settled for an amount of \$10,000 or more?</p> <p>(2) Have you ever been the subject of an <i>investment-related</i>, consumer-initiated written complaint, not otherwise reported under question 22H(1) above, which alleged that you were <i>involved</i> in one or more <i>sales practice violations</i>, and which complaint was settled for an amount of \$10,000 or more?</p> <p>22I (1) Have you been notified, in writing, that you are now the subject of any investigation, regulatory complaint or proceeding that could result in a "yes" answer to any part of 22A, B, D, E, or F -OR-</p> <p>(2) have you been named in any pending <i>investment-related</i> civil action that could result in a "yes" answer to any part of 22C?</p> <p>22J Has a bonding company ever denied, paid out on, or revoked a bond for you?</p> <p>22K Do you have any unsatisfied judgments or liens against you?</p> <p>22L Within the past 10 years have you, or based upon events that occurred while you exercised control over it, has an organization made a compromise with creditors, filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition?</p> <p>22M Within the past 10 years, based upon events that occurred while you exercised control over it, has a broker or dealer been the subject of an involuntary bankruptcy petition, or had a trustee appointed, or had a direct payment procedure initiated under the Securities Investor Protection Act?</p> <p>22N Have you ever voluntarily <i>resigned</i>, been discharged or permitted to <i>resign</i> after allegations were made that accused you of:</p> <p>(1) violating <i>investment-related</i> statutes, regulations, rules or industry standards of conduct?</p> <p>(2) fraud or the wrongful taking of property?</p> <p>(3) failure to supervise in connection with <i>investment-related</i> statutes, regulations, rules or industry standards of conduct?</p>	<p>20</p> <p>21</p> <p>22</p> <p>23</p> <p>24</p> <p>25</p> <p>26</p> <p>27</p> <p>28</p> <p>29</p> <p>30</p> <p>31</p>
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DISCLOSURE CERTIFICATION (OPTIONAL)

You may certify to the accuracy and completeness of the disclosure information in your file if it has been fully provided in DRP format. If DRP(s) are not on file, do not answer these certification boxes. Provide full details of all matters on DRP(s). All appropriate questions in Item 22 must be answered, regardless of whether the certification is being utilized. Refer to the Form U-4 Instructions for additional information on the utilization of the certification language.

220 I have received a copy of my disclosure file taken from the CRD system. I acknowledge that all information contained therein is fully disclosed, accurate and in DRP format. I further certify the following:

(1) I have no new information to add to my disclosure file. YES NO

(2) I have new information to add to my disclosure file which is reported on the attached DRP(s). YES NO

(3) I have updated information, reported on the attached DRP(s) which was previously reported. YES NO

The applicant and appropriate signatory area **DOES NOT** have to be completed **UNLESS** this page is being submitted as an amendment.

MONTH _____ DAY _____ YEAR _____	SIGNATURE OF APPLICANT _____
TYPE OR PRINT NAME OF APPLICANT: _____	
MONTH _____ DAY _____ YEAR _____	SIGNATURE OF APPROPRIATE SIGNATORY _____
TYPE OR PRINT NAME OF APPROPRIATE SIGNATORY: _____	

CRD USE ONLY

FORM U-4
UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER

If there is an amendment to this page, complete only Item 23 and Items being amended.

23 FIRM CRD # FIRM NFA #	SOCIAL SECURITY #	APPLICANT'S CRD # APPLICANT'S NFA #
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THE APPLICANT MUST READ THE FOLLOWING VERY CAREFULLY

1. I swear or affirm that I have read and understand the items and instructions on this form and that my answers (including attachments) are true and complete to the best of my knowledge. I understand that I am subject to administrative, civil or criminal penalties if I give false or misleading answers.
2. I apply for registration with the jurisdictions and organizations indicated in Item 10 as may be amended from time to time and, in consideration of the jurisdictions and organizations receiving and considering my application, I submit to the authority of the jurisdictions and organizations and agree to comply with all provisions, conditions and covenants of the statutes, constitutions, certificates of incorporation, by-laws and rules and regulations of the jurisdictions and organizations as they are or may be adopted, or amended from time to time. I further agree to be subject to and comply with all requirements, rulings, orders, directives and decisions of, and penalties, prohibitions and limitations imposed by the jurisdictions and organizations, subject to right of appeal or review as provided by law.
3. I agree that neither the jurisdictions or organizations nor any person acting on their behalf shall be liable to me for action taken or omitted to be taken in official capacity or in the scope of employment, except as otherwise provided in the statutes, constitutions, certificates of incorporation, by-laws or the rules and regulations of the jurisdictions and organizations.
4. I authorize the jurisdictions and organizations to give any information they may have concerning me to any employer or prospective employer, any federal, state or municipal agency, or any other organization and I release the jurisdictions and organizations and any person acting on their behalf from any and all liability of whatever nature by reason of furnishing such information.
5. I agree to arbitrate any dispute, claim or controversy that may arise between me and my firm, or a customer, or any other person, that is required to be arbitrated under the rules, constitutions, or by-laws of the organizations indicated in Item 10 as may be amended from time to time and that any arbitration award rendered against me may be entered as a judgement in any court of competent jurisdiction.
6. For the purpose of complying with the laws relating to the offer or sale of securities or commodities in the jurisdictions indicated in Item 10 as may be amended from time to time, I irrevocably appoint the administrator of each of those jurisdictions, or such other person designated by law, and the successors in such office, my attorney upon whom may be served any notice, process or pleading in any action or proceeding against me 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 the jurisdictions. I consent that any such action or proceeding against me may be commenced in any court of competent jurisdiction and proper venue by service of process upon the appointee as if I were a resident of, and had been lawfully served with process in, the jurisdiction. I request that a copy of any notice, process or pleading served hereunder be mailed to my current residential address as reflected in this form or any amendment thereto.
7. I consent that notice of any investigation or proceeding by any self-regulatory organization against applicant may be given by personal service or by regular, registered or certified mail or confirmed telegram to applicant at his/her most recent business or home address as reflected in this Form U-4, or any amendment thereto, or by leaving notice of the investigation or proceeding at such address.
8. I authorize all of my employers and any other person to furnish to any jurisdiction or organization or any agent acting on its behalf, any information they have, including my creditworthiness, character, ability, business activities, educational background, general reputation, history of my employment and, in the case of former employers, complete reasons for my termination. Moreover, I release each employer, former employer and each other person from any and all liability, of whatever nature, by reason of furnishing any of the above information, including that information reported on the Uniform Termination Notice for Securities Industry Registration (Form U-5). I recognize that I may be the subject of an investigative consumer report ordered by the jurisdictions, or organizations with which this application is being filed, and waive any requirement of notification with respect to any investigative consumer report ordered by any such jurisdiction or organization. I understand that I have the right to request complete and accurate disclosure by the jurisdiction or organization of the nature and scope of the requested investigative consumer report.
9. I understand and certify that the representations in this form apply to all employers with whom I seek registration as indicated in Items 4 and 9 of this form. I agree to update this form by causing an amendment to be filed on a timely basis whenever changes occur to answers previously reported. Further, I represent that, to the extent any information previously submitted is not amended, the information provided in this form is currently accurate and complete.
10. If I have become temporarily registered as an agent, I acknowledge that this application for registration with the jurisdictions and organizations indicated in Item 10 is separate and distinct from any temporary registration already obtained with the jurisdictions and organizations. I further understand that my registration may be denied, suspended or revoked under the laws, regulations or rules of the jurisdictions and organizations.

Month Day Year

SIGNATURE OF APPLICANT

TYPE OR PRINT NAME OF APPLICANT

THE FIRM MUST COMPLETE THE FOLLOWING

To the best of my knowledge and belief, the applicant is currently bonded where required, and, at the time of approval, will be familiar with the statute(s), constitution(s), rules and by-laws of the agency, jurisdiction or self-regulatory organization with which this application is being filed, and the rules governing registered persons, and will be fully qualified for the position for which application is being made herein. I agree that, notwithstanding the approval of such agency, jurisdiction or organization which hereby is requested, I will not employ the applicant in the capacity stated herein without first receiving the approval of any authority which may be required by law. This firm has communicated with all of the applicant's previous employers for the past three years.

EMPLOYER	NAME OF PERSON CONTACTED	POSITION OF PERSON CONTACTED	EMPLOYED FROM TO		HOW CONTACTED		
					PHONE	LETTER	INTERVIEW

IN ADDITION, I HAVE TAKEN APPROPRIATE STEPS TO VERIFY THE ACCURACY AND COMPLETENESS OF THE INFORMATION CONTAINED IN AND WITH THIS APPLICATION.

THE APPROPRIATE SIGNATORY AREA *MUST BE* COMPLETED ON ALL INITIAL, TRANSFER OR AMENDMENT FILINGS.

MONTH DAY YEAR

SIGNATURE OF APPROPRIATE SIGNATORY

TYPE OR PRINT NAME OF APPROPRIATE SIGNATORY

CRD USE ONLY

FORM U-4
UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER
DISCLOSURE REPORTING PAGE (DRP)

LAST NAME	JR./SR., etc.	FIRST NAME	MIDDLE NAME (Specify if none)
CRD #	NFA #	SOCIAL SECURITY #	FIRM CRD #

INSTRUCTIONS

This Disclosure Reporting Page (DRP) is to be used to report details of affirmative responses to Item 22 questions.

- Use a separate DRP for each event or proceeding. Complete Items 1-8 below. (Item 9 is optional.)
- One event may result in more than one "yes" answer in Item 22; if so, use only one DRP to report this information.
- The information provided on this DRP will be entered into the CRD system verbatim. It is very important that clear and concise information be provided for each item on this form.
- It is not a requirement that documents be provided for each event or proceeding. Should they be provided with the DRP, they will not be accepted as disclosure in lieu of answering the questions on this form.

1. This DRP relates to the following questions in Item 22:

- | | | | | | | | | |
|----------------------------------|-------------------------------------|----------------------------------|----------------------------------|----------------------------------|-------------------------------------|-------------------------------------|----------------------------------|----------------------------------|
| <input type="checkbox"/> 22A (1) | <input type="checkbox"/> 22C (2)(a) | <input type="checkbox"/> 22D (3) | <input type="checkbox"/> 22E (2) | <input type="checkbox"/> 22E (6) | <input type="checkbox"/> 22F (4) | <input type="checkbox"/> 22H (1)(b) | <input type="checkbox"/> 22I (2) | <input type="checkbox"/> 22M |
| <input type="checkbox"/> 22A (3) | <input type="checkbox"/> 22C (2)(b) | <input type="checkbox"/> 22D (4) | <input type="checkbox"/> 22E (3) | <input type="checkbox"/> 22F (1) | <input type="checkbox"/> 22G (1) | <input type="checkbox"/> 22H (1)(c) | <input type="checkbox"/> 22J | <input type="checkbox"/> 22N (1) |
| <input type="checkbox"/> 22B | <input type="checkbox"/> 22D (1) | <input type="checkbox"/> 22D (5) | <input type="checkbox"/> 22E (4) | <input type="checkbox"/> 22F (2) | <input type="checkbox"/> 22G (2) | <input type="checkbox"/> 22H (2) | <input type="checkbox"/> 22K | <input type="checkbox"/> 22N (2) |
| <input type="checkbox"/> 22C (1) | <input type="checkbox"/> 22D (2) | <input type="checkbox"/> 22E (1) | <input type="checkbox"/> 22E (5) | <input type="checkbox"/> 22F (3) | <input type="checkbox"/> 22H (1)(a) | <input type="checkbox"/> 22I (1) | <input type="checkbox"/> 22L | <input type="checkbox"/> 22N (3) |

2. Is this DRP being filed to change or update any information regarding a previously reported event or proceeding? ☐ YES ☐ NO

Complete Items 1-8, and if yes, also circle the items below which are being changed.

3. Who initiated this event or proceeding? (Enter name of firm, regulator, court, customer, etc.) _____

4. What type of event or proceeding was this? (i.e., Customer Complaint, Termination, Civil, Administrative, Criminal, Arbitration) _____

5. On what date was the event or proceeding initiated? _____

6. Identify the docket or case number of the event or proceeding (if any). _____

7. What were the allegations against you? (Include amount of actual or alleged damages or claims.) _____

8. a. What is the current status of the event or proceeding? _____

b. On what date was this status reached? _____

c. What was the result? (Include felony/misdemeanor, a description of the penalties, amount of fine, payment or settlement, terms of the disposition, length of suspension or restriction, etc.) _____

9. You may provide a brief summary of this event or proceeding. (Your information must fit within the space provided.) _____

MONTH

DAY

YEAR

SIGNATURE OF APPLICANT

FORM U-4
UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER
ATTACHMENT SHEET FOR ITEMS 18, 19 & 20.

LAST NAME	JR./SR., etc.	FIRST NAME	MIDDLE NAME (Specify if none)
CRD #	NFA #	SOCIAL SECURITY #	FIRM CRD #

*Use this Attachment Sheet to report continued information from items 18, 19 and 20 of Form U-4.
(For item 22 use the Disclosure Reporting Page (DRP).)*

ITEM OF FORM (IDENTITY)	ANSWER

<div style="border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="display: flex; justify-content: space-between; font-size: small;">MONTH DAY YEAR</div>	<div style="border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="text-align: right; font-size: small;">SIGNATURE OF APPLICANT</div>
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