



The Commonwealth of Massachusetts
William Francis Galvin, Secretary of the Commonwealth
Securities Division

SECTION 202(a) AFFIDAVIT FOR AN INDIVIDUAL WAIVING AUTOMATIC
INVESTMENT ADVISER REPRESENTATIVE REGISTRATION

This affidavit is made and filed with the Office of the Secretary of the Commonwealth, Massachusetts Securities Division for the purpose of excepting the undersigned from automatic registration as an investment adviser representative pursuant to Mass. Gen. Laws ch. 110A, § 202(a).

The undersigned hereby swears or affirms that as an _____
Executive Officer, Director, Partner, Controlling Member (or person
occupying a similar status or performing similar functions)
of _____ :
Name of Investment Adviser

I, _____ ,

- a. make no recommendations nor otherwise render advice regarding securities;
- b. do not manage accounts or portfolios for clients;
- c. do not determine which recommendations or advice regarding securities should be given;
- d. neither solicits, offers or negotiates for the sale of or sells investment advisory services; and
- e. do not supervise any employee who performs any of the foregoing activities.

I will not engage in such activity unless and until such time as I become duly registered as an investment adviser representative in the Commonwealth and pay to the Commonwealth the fee required by Mass. Gen. Laws ch. 110A, § 202(c).

Signed under the penalties of perjury this _____ day of _____, 20_____

Signature of Affiant