

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

1. General Information

First Name:		Middle Name:		Last Name:		Suffix:	
Firm CRD#:		Firm Name:			Employment Date (MM/DD/YYYY):		
Firm Billing Code:		Individual CRD#			Individual SSN:		
Do you have an independent contractor relationship with the above named firm?: Yes No							
Office of Employment Address:							
Registered Non-Registered	CRD Branch#:	NYSE Branch Code#:	Firm Billing Code:	Located At Supervise From	Start Date:	End Date:	
Office of Employment Address Street 1:			City:		State:		
Office of Employment Address Street 2:			Country:		Postal Code:		
Private Residence Check Box: If the Office of Employment address is a private residence, check this box.							
Registered Non-Registered	CRD Branch#:	NYSE Branch Code#:	Firm Billing Code:	Located At Supervise From	Start Date:	End Date:	
Office of Employment Address Street 1:			City:		State:		
Office of Employment Address Street 2:			Country:		Postal Code:		
Private Residence Check Box: If the Office of Employment address is a private residence, check this box.							
Registered Non-Registered	CRD Branch#:	NYSE Branch Code#:	Firm Billing Code:	Located At Supervise From	Start Date:	End Date:	
Office of Employment Address Street 1:			City:		State:		
Office of Employment Address Street 2:			Country:		Postal Code:		
Private Residence Check Box: If the Office of Employment address is a private residence, check this box.							

2. Finger Print InformationElectronic Filing Representation

By selecting this option, I represent that I am submitting, have submitted, or promptly will submit to the appropriate SRO a fingerprint card as required under applicable SRO rules; or

Fingerprint card barcode

By selecting this option, I represent that I have been employed continuously by the filing firm since the last submission of a fingerprint card to CRD and am not required to resubmit a fingerprint card at this time; or,

By selecting this option, I represent that I have been employed continuously by the filing firm and my fingerprints have been processed by an SRO other than FINRA. I am submitting, have submitted, or promptly will submit the processed results for posting to CRD.

Exceptions to the Fingerprint Requirement

By selecting one or more of the following two options, I affirm that I am exempt from the federal fingerprint requirement because I/filing firm currently satisfy(ies) the requirements of at least one of the permissive exemptions indicated below pursuant to Rule 17f-2 under the Securities Exchange Act of 1934, including any notice or application requirements specified therein:

Rule 17f-2(a)(1)(i)

Rule 17f-2(a)(1)(iii)

Investment Adviser Representative Only Applicants

I affirm that I am applying only as an investment adviser representative and that I am not also applying or have not also applied with this firm to become a broker-dealer representative. If this radio button/box is selected, continue below.

I am applying for registration only in jurisdictions that do not have fingerprint card filing requirements, or

I am applying for registration in jurisdictions that have fingerprint card filing requirements and I am submitting, have submitted, or promptly will submit the appropriate fingerprint card directly to the jurisdictions for processing pursuant to applicable jurisdiction rules.

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

3. REGISTRATION WITH UNAFFILIATED FIRMS

Some jurisdictions prohibit “dual registration,” which occurs when an individual chooses to maintain a concurrent registration as a representative/agent with two or more firms (either BD or IA firms) that are not affiliated. Jurisdictions that prohibit dual registration would not, for example, permit a broker-dealer agent working with brokerage firm A to maintain a registration with brokerage firm B if firms A and B are not owned or controlled by a common parent. Before seeking a dual registration status, you should consult the applicable rules or statutes of the jurisdictions with which you seek registration for prohibitions on dual registrations or any liability provisions.

Please indicate whether the individual will maintain a “dual registration” status by answering the questions in this section. (Note: An individual should answer ‘yes’ only if the individual is currently registered and is seeking registration with a firm (either BD or IA) that is not affiliated with the individual’s current employing firm. If this is an initial application, an individual must answer ‘no’ to these questions; a “dual registration” may be initiated only after an initial registration has been established).

Answer “yes” or “no” to the following questions:

A. Will applicant maintain registration with a broker-dealer that is not affiliated with the filing firm?
If you answer “yes,” list the firm(s) in Section 12 (Employment History).

Yes

No

Yes

No

B. Will applicant maintain registration with an investment adviser that is not affiliated with the filing firm?
If you answer “yes,” list the firm(s) in Section 12 (Employment History).

INDIVIDUAL NAME:

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4. SRO REGISTRATIONS**Select appropriate SRO Registration requests.**

Qualifying examinations will be automatically scheduled if needed. If you are only scheduling or rescheduling an exam, skip this section and complete section 7 (EXAMINATION REQUESTS).

REPRESENTATIVE LEVEL REGISTRATION CATEGORIES

REGISTRATION CATEGORIES	FINRA	NYSE	NYSE-AMER	NYSE-ARCA	NYSE-CHI	NYSE-NAT	CBOE	CBOE C2	CBOE BYX	CBOE BZX	CBOE EDGA	CBOE EDGX	NQX	BX	ISE	ISE GEMX	ISE MRX	PHLX	MIAX EMERALD	MIAX OPTIONS	MIAX PEARL	BOX	IEX	LTSE	MEMX
IR - Investment Company and Variable Contracts Products Rep. (S6TO)																									
GS - Full Registration/General Securities Representative (S7TO)																									
DR - Direct Participation Program Representative (S22TO)																									
MR - Municipal Securities Representative (S52TO)																									
TD - Securities Trader (S57TO)																									
IB - Investment Banking Representative (S79TO)																									
PR - Limited Representative - Private Securities Offerings (S82TO)																									
RS - Research Analyst (S86 and S87)																									
OS - Operations Professional (S99TO)																									
Other _____ (Paper Form Only)																									
RETIRED REGISTRATION CATEGORIES																									
AR - Assistant Representative/Order Processing																									
CD - Canada-Limited General Securities Registered Representative																									
CN - Canada-Limited General Securities Registered Representative																									
CS - Corporate Securities Representative																									
FA - Foreign Associate																									
IE - United Kingdom - Limited General Securities Registered Representative																									
OR - Options Representative																									
RG - Government Securities Representative																									

PRINCIPAL LEVEL REGISTRATION CATEGORIES

REGISTRATION CATEGORIES	FINRA	NYSE	NYSE-AMER	NYSE-ARCA	NYSE-CHI	NYSE-NAT	CBOE	CBOE C2	CBOE BYX	CBOE BZX	CBOE EDGA	CBOE EDGX	NQX	BX	ISE	ISE GEMX	ISE MRX	PHLX	MIAX EMERALD	MIAX OPTIONS	MIAX PEARL	BOX	IEX	LTSE	MEMX
OP – Registered Options Principal (S4)																									
SU – General Securities Sales Supervisor (S9 and S10)																									
CO – Compliance Official (S14)																									
CR – Compliance Officer (S14)																									
SA – Supervisory Analyst (S16)																									
GP – General Securities Principal (S24)																									
RP – Research Principal (S24)																									
BP – Investment Banking Principal (S24)																									
TP – Securities Trader Principal (S24)																									
PO – Private Securities Offerings Principal (S24)																									
IP – Investment Company and Variable Contracts Products Principal (S26)																									
FN – Financial and Operations Principal (S27)																									
FI – Introducing Broker-Dealer/Financial and Operations Principal (S28)																									
DP – Direct Participation Program Principal (S39)																									
FP – Municipal Fund (S51)																									
MP – Municipal Securities Principal (S53)																									
PG – Government Securities Principal																									
Other _____ (Paper Form Only)																									
RETIRED REGISTRATION CATEGORIES																									
SM – Securities Manager																									

EXCHANGE-SPECIFIC REGISTRATION CATEGORIES

REGISTRATION CATEGORIES	FINRA	NYSE	NYSE-AMER	NYSE-ARCA	NYSE-CHI	NYSE-NAT	CBOE	CBOE C2	CBOE BYX	CBOE BZX	CBOE EDGA	CBOE EDGX	NQX	BX	ISE	ISE GEMX	ISE MRX	PHLX	MIAX EMERALD	MIAX OPTIONS	MIAX PEARL	BOX	IEX	LTSE	MEMX
AP – Approved Person																									
CF – Compliance Official Specialist																									
FE – Floor Employee																									
LE – Securities Lending Representative																									
LS – Securities Lending Supervisor																									
ME - Member Exchange																									
MT – Market Maker Authorized Trader-Equities																									
OM – Options Member (S57TO)																									
CT – Securities Trader Compliance Officer (S14)																									
FL – Floor Clerk – Equities (S19)																									

INDIVIDUAL NAME:

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FIRM NAME:

FIRM CRD #:

5. JURISDICTION REGISTRATIONS*Check appropriate jurisdiction(s) for broker-dealer agent (AG) and/or investment adviser representative (RA) registration requests.*

JURISDICTION	AG	RA	JURISDICTION	AG	RA	JURISDICTION	AG	RA	JURISDICTION	AG	RA
Alabama			Illinois			Montana			Puerto Rico		
Alaska			Indiana			Nebraska			Rhode Island		
Arizona			Iowa			Nevada			South Carolina		
Arkansas			Kansas			New Hampshire			South Dakota		
California			Kentucky			New Jersey			Tennessee		
Colorado			Louisiana			New Mexico			Texas		
Connecticut			Maine			New York			Utah		
Delaware			Maryland			North Carolina			Vermont		
District of Columbia			Massachusetts			North Dakota			Virgin Islands		
Florida			Michigan			Ohio			Virginia		
Georgia			Minnesota			Oklahoma			Washington		
Hawaii			Mississippi			Oregon			West Virginia		
Idaho			Missouri			Pennsylvania			Wisconsin		
									Wyoming		

AGENT OF THE ISSUER REGISTRATION (AI) Indicate 2 letter jurisdiction code(s):

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

6. REGISTRATION REQUESTS WITH AFFILIATED FIRMS

Will applicant maintain registration with firm(s) under common ownership or control with the filing firm? Yes No

If "yes", fill in the details to indicate a request for registration with additional firm(s).

If the individual seeks registration with firm(s) affiliated with the filing firm, complete the following to make a request for registration with the additional affiliated firm(s) other than the filing firm.

Affiliated Firm CRD #:

Affiliated Firm Name:

Employment Date:

Do you have an independent contractor relationship with the above named firm?: Yes No

Affiliated Firm Billing Code:

Office of Employment Address:

Registered Non-Registered	CRD Branch #:	NYSE Branch Code #:	Firm Billing Code:	Located At Supervised From	Start Date:	End Date:
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Office of Employment Address Street 1: City: State:

Office of Employment Address Street 2: Country: Postal Code:

Private Residence Check Box: If the Office of Employment address is a private residence, check this box.

Registered Non-Registered	CRD Branch #:	NYSE Branch Code #:	Firm Billing Code:	Located At Supervised From	Start Date:	End Date:
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Office of Employment Address Street 1: City: State:

Office of Employment Address Street 2: Country: Postal Code:

Private Residence Check Box: If the Office of Employment address is a private residence, check this box.

Registered Non-Registered	CRD Branch #:	NYSE Branch Code #:	Firm Billing Code:	Located At Supervised From	Start Date:	End Date:
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Office of Employment Address Street 1: City: State:

Office of Employment Address Street 2: Country: Postal Code:

Private Residence Check Box: If the Office of Employment address is a private residence, check this box.

Check here to request the same SRO and jurisdiction registrations for this affiliated firm that are requested on this application for the filing firm.

Check here to request different SRO and jurisdiction registrations than requested on this application for your filing firm.

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

AFFILIATED FIRM FINGERPRINT INFORMATION**Electronic Filing Representation**

By selecting this option, I represent that I am submitting, have submitted, or promptly will submit to the appropriate SRO a fingerprint card as required under applicable SRO rules; or
Fingerprint card barcode

By selecting this option, I represent that I have been employed continuously by the filing firm since the last submission of a fingerprint card to CRD and am not required to resubmit a fingerprint card at this time; or,

I am not required to submit a fingerprint card at this time because the fingerprint card submitted by the filing firm applies; or,

By selecting this option, I represent that I have been employed continuously by the filing firm and my fingerprints have been processed by an SRO other than FINRA. I am submitting, have submitted, or promptly will submit the processed results for posting to CRD.

Exceptions to the Fingerprint Requirement

By selecting one or more of the following two options, I affirm that I am exempt from the federal fingerprint requirement because I/filing firm currently satisfy(ies) the requirements of at least one of the permissive exemptions indicated below pursuant to Rule 17f-2 under the Securities Exchange Act of 1934, including any notice or application requirements specified therein:

Rule 17f-2(a)(1)(i)

Rule 17f-2(a)(1)(iii)

Investment Adviser Representative Only Applicants

I affirm that I am applying only as an investment adviser representative and that I am not also applying or have not also applied with this firm to become a broker-dealer representative. If this radio button/box is selected, continue below.

I am applying for registration only in jurisdictions that do not have fingerprint card filing requirements, or

I am applying for registration in jurisdictions that have fingerprint card filing requirements and I am submitting, have submitted, or promptly will submit the appropriate fingerprint card directly to the jurisdictions for processing pursuant to applicable jurisdiction rules.

7. EXAMINATION REQUESTS

Scheduling or Rescheduling Examinations. Complete this section only if you are scheduling or rescheduling an examination or continuing education session. Do not select the Series 63 (S63) or Series 65 (S65) examinations in this section if you have completed Section 5 (JURISDICTION REGISTRATION) and have selected registration in a jurisdiction. If you have completed Section 5 (JURISDICTION REGISTRATION), and requested an AG registration in a jurisdiction that requires that you pass the S63 examination, an S63 examination will be automatically scheduled for you upon submission of this Form U4. If you have completed Section 5 (JURISDICTION REGISTRATION), and requested an RA registration in a jurisdiction that requires that you pass the S65 examination, an S65 examination will be automatically scheduled for you upon submission of this Form U4.

SIE	S16	S30	S52TO	S79TO			
S3	S22TO	S31	S53	S82TO			
S4	S23	S32	S54	S86			
S6TO	S24	S34	S57TO	S87			
S7TO	S26	S39	S63	S99TO			
S9	S27	S50	S65	S101			
S10	S28	S51	S66	S201			
S14							
Other (Paper Form Only)							

Optional Foreign Exam City:

Date (MM/YY/DD)

If you have taken an exam prior to registering through the CRD system, enter the exam type and date taken.

Exam Type:

Date (MM/YY/DD):

8. PROFESSIONAL DESIGNATIONS

Select each designation you currently maintain.

Certified Financial Planner	Chartered Financial Consultant (ChFC)	Personal Financial Specialist (PFS)
Chartered Financial Analyst (CFA)	Chartered Investment Counselor (CIC)	

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

9. IDENTIFYING INFORMATION/NAME CHANGE

First Name:	Middle Name:	Last Name:	Suffix:
Date of Birth (MM/DD/YYYY):	State/Province of Birth:	Country of Birth:	Sex: Male Female
Height (Ft):	Height (In):	Weight (Lbs.):	Hair Color:
			Eye Color:

10. OTHER NAMES

Enter all other names that you have used or are using, or by which you are known or have been known, other than your legal name, since the age of 18. This field should include, for example, nicknames, aliases, and names used before or after marriage.

First Name:	Middle Name:	Last Name:	Suffix:
First Name:	Middle Name:	Last Name:	Suffix:

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

11. RESIDENTIAL HISTORY

Starting with the current address, give all addresses for the past 5 years. Report changes as they occur.

From (MM/YYYY):	TO (MM/YYYY):	Street Address 1:	Street Address 2:
City:	State:	Country:	Postal Code:
From (MM/YYYY):	TO (MM/YYYY):	Street Address 1:	Street Address 2:
City:	State:	Country:	Postal Code:
From (MM/YYYY):	TO (MM/YYYY):	Street Address 1:	Street Address 2:
City:	State:	Country:	Postal Code:
From (MM/YYYY):	TO (MM/YYYY):	Street Address 1:	Street Address 2:
City:	State:	Country:	Postal Code:
From (MM/YYYY):	TO (MM/YYYY):	Street Address 1:	Street Address 2:
City:	State:	Country:	Postal Code:
From (MM/YYYY):	TO (MM/YYYY):	Street Address 1:	Street Address 2:
City:	State:	Country:	Postal Code:
From (MM/YYYY):	TO (MM/YYYY):	Street Address 1:	Street Address 2:
City:	State:	Country:	Postal Code:
From (MM/YYYY):	TO (MM/YYYY):	Street Address 1:	Street Address 2:
City:	State:	Country:	Postal Code:
From (MM/YYYY):	TO (MM/YYYY):	Street Address 1:	Street Address 2:
City:	State:	Country:	Postal Code:
From (MM/YYYY):	TO (MM/YYYY):	Street Address 1:	Street Address 2:
City:	State:	Country:	Postal Code:
From (MM/YYYY):	TO (MM/YYYY):	Street Address 1:	Street Address 2:
City:	State:	Country:	Postal Code:

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

12. EMPLOYMENT HISTORY

Provide complete employment history for the past 10 years. Include the firm(s) noted in Section 1 (GENERAL INFORMATION) and Section 6 (REGISTRATION REQUESTS WITH AFFILIATED FIRMS). Include all firm(s) from Section 3 (REGISTRATION WITH UNAFFILIATED FIRMS). Account for all time including full and part-time employments, self-employment, military service, and homemaking. Also include statuses such as unemployed, full-time education, extended travel, or other similar statuses.

Report changes as they occur.

From (MM/YYYY):	To (MM/YYYY):	Name of Firm or Company:	City:
State:	Country:	Investment Related Business? YES NO	Position Held:
From (MM/YYYY):	To (MM/YYYY):	Name of Firm or Company:	City:
State:	Country:	Investment Related Business? YES NO	Position Held:
From (MM/YYYY):	To (MM/YYYY):	Name of Firm or Company:	City:
State:	Country:	Investment Related Business? YES NO	Position Held:
From (MM/YYYY):	To (MM/YYYY):	Name of Firm or Company:	City:
State:	Country:	Investment Related Business? YES NO	Position Held:
From (MM/YYYY):	To (MM/YYYY):	Name of Firm or Company:	City:
State:	Country:	Investment Related Business? YES NO	Position Held:
From (MM/YYYY):	To (MM/YYYY):	Name of Firm or Company:	City:
State:	Country:	Investment Related Business? YES NO	Position Held:
From (MM/YYYY):	To (MM/YYYY):	Name of Firm or Company:	City:
State:	Country:	Investment Related Business? YES NO	Position Held:
From (MM/YYYY):	To (MM/YYYY):	Name of Firm or Company:	City:
State:	Country:	Investment Related Business? YES NO	Position Held:
From (MM/YYYY):	To (MM/YYYY):	Name of Firm or Company:	City:
State:	Country:	Investment Related Business? YES NO	Position Held:

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

13. OTHER BUSINESS

Are you currently engaged in any other business either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise?
(Please exclude non investment-related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.)

If YES, please provide the following details: the name of the other business, whether the business is investment-related, the address of the other business, the nature of the other business, your position, title, or relationship with the other business, the start date of your relationship, the approximate number of hours/month you devote to the other business, the number of hours you devote to the other business during securities trading hours, and briefly describe your duties relating to the other business.

YES NO

If "Yes," please enter details below.

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

14. DISCLOSURE QUESTIONS

If the answer to any of the following questions is 'Yes',
Complete details of all events or proceedings on appropriate drp(s)

REFER TO THE EXPLANATION OF TERMS SECTION OF FORM U4 INSTRUCTIONS FOR EXPLANATIONS OF ITALICIZED TERMS.

	YES	NO
Criminal Disclosure		
14A. (1) Have you ever: (a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any felony? (b) been charged with any felony? (2) Based upon activities that occurred while you exercised control over it, has an organization ever: (a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any felony? (b) been charged with any felony?		
14B. (1) Have you ever: (a) been convicted of 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? (b) been charged with a misdemeanor specified in 14B(1)(a)? (2) Based upon activities that occurred while you exercised control over it, has an organization ever: (a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic or foreign court to a misdemeanor specified in 14B(1)(a)? (b) been charged with a misdemeanor specified in 14B(1)(a)?		
Regulatory Action Disclosure	YES	NO
14C. Has the U.S. Securities and Exchange Commission or the Commodity Futures Trading Commission ever: (1) found you to have made a false statement or omission? (2) found you to have been involved in a violation of its regulations or statutes? (3) found you 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 you in connection with investment-related activity? (5) imposed a civil money penalty on you, or ordered you to cease and desist from any activity? (6) found you to have 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 found you to have been unable to comply with any provision of such Act, rule or regulation? (7) found you to have 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? (8) found you to have failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation 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?		
14D. (1) Has any other Federal regulatory agency or any state regulatory agency or foreign financial regulatory authority ever: (a) found you to have made a false statement or omission or been dishonest, unfair or unethical? (b) found you to have been involved in a violation of investment-related regulation(s) or statute(s)? (c) found you to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked or restricted? (d) entered an order against you in connection with an investment-related activity? denied, suspended, or revoked your registration or license or otherwise, by order, prevented you from associating with an investment-related business or restricted your activities?		

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

14. DISCLOSURE QUESTIONS (CONTINUED)

	YES	NO
<p>(2) Have you been subject to any final order of a state securities commission (or any agency or office performing like functions), state authority that supervises or examines banks, savings associations, or credit unions, state insurance commission (or any agency or office performing like functions), an appropriate federal banking agency, or the National Credit Union Administration, that:</p> <p>(a) bars you from association with an entity regulated by such commission, authority, agency, or officer, or from engaging in the business of securities, insurance, banking, savings association activities, or credit union activities; or</p> <p>(b) constitutes a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</p>		
<p>14E. Has any self-regulatory organization ever:</p> <p>(1) found you to have made a false statement or omission?</p> <p>(2) found you 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)?</p> <p>(3) found you to have been the cause of an investment-related business having its authorization to do business denied, suspended, revoked or restricted?</p> <p>(4) disciplined you by expelling or suspending you from membership, barring or suspending your association with its members, or restricting your activities?</p> <p>(5) found you to have 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 found you to have been unable to comply with any provision of such Act, rule or regulation?</p> <p>(6) found you to have 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?</p> <p>(7) found you to have failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation 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?</p>		
<p>14F. Have you ever had an authorization to act as an attorney, accountant or federal contractor that was revoked or suspended?</p>		
<p>14G. Have you been notified, in writing, that you are now the subject of any:</p> <p>(1) regulatory complaint or proceeding that could result in a "yes" answer to any part of 14C, D or E? (If "yes", complete the Regulatory Action Disclosure Reporting Page.)</p> <p>(2) investigation that could result in a "yes" answer to any part of 14A, B, C, D or E? (If "yes", complete the Investigation Disclosure Reporting Page.)</p>		
Civil Judicial Disclosure	YES	NO
<p>14H. (1) Has any domestic or foreign court ever:</p> <p>(a) enjoined you in connection with any investment-related activity?</p> <p>(b) found that you were involved in a violation of any investment-related statute(s) or regulation(s)?</p> <p>(c) dismissed, pursuant to a settlement agreement, an investment-related civil action brought against you by a state or foreign financial regulatory authority?</p> <p>(2) Are you named in any pending investment-related civil action that could result in a "yes" answer to any part of 14H(1)?</p>		
Customer Complaint/Arbitration/Civil Litigation Disclosure	YES	NO
<p>14I. (1) Have you ever been named as a respondent/defendant in an investment-related, consumer-initiated arbitration or civil litigation which alleged that you were involved in one or more sales practice violations 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, prior to 05/18/2009, for an amount of \$10,000 or more, or;</p> <p>(d) was settled, on or after 05/18/2009, for an amount of \$15,000 or more?</p>		

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

14. DISCLOSURE QUESTIONS (CONTINUED)

YES NO

(2) Have you ever been the subject of an investment-related, consumer-initiated (written or oral) complaint, which alleged that you were involved in one or more sales practice violations, and which:

- (a) was settled, prior to 05/18/2009, for an amount of \$10,000 or more, or;
 (b) was settled, on or after 05/18/2009, for an amount of \$15,000 or more?

(3) Within the past twenty four (24) months, have you been the subject of an investment-related, consumer-initiated, written complaint, not otherwise reported under question 14I(2) above, which:

- (a) alleged that you were involved in one or more sales practice violations and contained a claim for compensatory damages of \$5,000 or more (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), or;
 (b) alleged that you were involved in forgery, theft, misappropriation or conversion of funds or securities?

Answer questions (4) and (5) below only for arbitration claims or civil litigation filed on or after 05/18/2009.

(4) Have you ever been the subject of an investment-related, consumer-initiated arbitration claim or civil litigation which alleged that you were involved in one or more sales practice violations, and which:

- (a) was settled for an amount of \$15,000 or more, or;
 (b) resulted in an arbitration award or civil judgment against any named respondent(s)/defendant(s), regardless of amount?

(5) Within the past twenty four (24) months, have you been the subject of an investment-related, consumer-initiated arbitration claim or civil litigation not otherwise reported under question 14I(4) above, which:

- (a) alleged that you were involved in one or more sales practice violations and contained a claim for compensatory damages of \$5,000 or more (if no damage amount is alleged, the arbitration claim or civil litigation 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), or;
 (b) alleged that you were involved in forgery, theft, misappropriation or conversion of funds or securities?

Termination Disclosure

YES NO

14J. Have you ever voluntarily resigned, been discharged or permitted to resign after allegations were made that accused you of:

- (1) violating investment-related statutes, regulations, rules, or industry standards of conduct?
 (2) fraud or the wrongful taking of property?
 (3) failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct?

Financial Disclosure

YES NO

14K. Within the past 10 years:

- (1) have you made a compromise with creditors, filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition?
 (2) 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?
 (3) 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?

14L. Has a bonding company ever denied, paid out on, or revoked a bond for you?

14M. Do you have any unsatisfied judgments or liens against you?

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

15. SIGNATURES

Please Read Carefully. All signatures required on this Form U4 filing must be made in this section.

A "signature" includes a manual signature or an electronically transmitted equivalent. For purposes of an electronic form filing, a signature is effected by typing a name in the designated signature field. By typing a name in this field, the signatory acknowledges and represents that the entry constitutes in every way, use, or aspect, his or her legally binding signature.

15A. INDIVIDUAL/APPLICANT'S ACKNOWLEDGMENT AND CONSENT This section must be completed on all initial or Temporary Registration form filings.

15B. FIRM/APPROPRIATE SIGNATORY REPRESENTATIONS This section must be completed on all initial or Temporary Registration form filings.

15C. TEMPORARY REGISTRATION ACKNOWLEDGMENT This section must be completed on Temporary Registration form filings to be able to receive Temporary Registration.

15D. INDIVIDUAL/APPLICANT'S AMENDMENT ACKNOWLEDGMENT AND CONSENT This section must be completed on any amendment filing that amends any information in Section 14 (Disclosure Questions) or any Disclosure Reporting Page (DRP).

15E. FIRM/APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS This section must be completed on all amendment form filings.

15F. FIRM/APPROPRIATE SIGNATORY CONCURRENCE This section must be completed to concur with a U4 filing made by another firm (IA/BD) on behalf of an individual that is also registered with that other firm (IA/BD).

15A. INDIVIDUAL/APPLICANT'S ACKNOWLEDGEMENT AND CONSENT

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 SROs indicated in Section 4 (SRO REGISTRATION) and Section 5 (JURISDICTION REGISTRATION) as may be amended from time to time and, in consideration of the jurisdictions and SROs receiving and considering my application, I submit to the authority of the jurisdictions and SROs 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 SROs 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 SROs, subject to right of appeal or review as provided by law.

3. I agree that neither the jurisdictions or SROs 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 SROs.

4. I authorize the jurisdictions, SROs, and the designated entity to give any information they may have concerning me to any employer or prospective employer, any federal, state or municipal agency, or any other SRO and I release the jurisdictions, SROs, and the designated entity, 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 SROs indicated in Section 4 (SRO REGISTRATION) as may be amended from time to time and that any arbitration award rendered against me may be entered as a judgment 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 or investment advisory activities, I irrevocably appoint the administrator of each jurisdiction indicated in Section 5 (JURISDICTION REGISTRATION) as may be amended from time to time, or such other person designated by law, and the successors in such office, my attorney upon whom may be served any notice, process, pleading, subpoena or other document in any action or proceeding against me arising out of or in connection with the offer or sale of securities or commodities, or investment advisory activities or out of the violation or alleged violation of the laws of such 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, pleading, subpoena or other document served hereunder be mailed to my current residential address as reflected in this form or any amendment thereto.

7. I consent that the service of any process, pleading, subpoena, or other document in any investigation or administrative proceeding conducted by the SEC, CFTC or a jurisdiction or in any civil action in which the SEC, CFTC or a jurisdiction are plaintiffs, or the notice of any investigation or proceeding by any SRO against the applicant, may be made by personal service or by regular, registered or certified mail or confirmed telegram to me at my most recent business or home address as reflected in this Form U4, or any amendment thereto,

by leaving such documents or notice at such address, or by any other legally permissible means. I further stipulate and agree that any civil action or administrative proceeding instituted by the SEC, CFTC or a jurisdiction may be commenced by the service of process as described herein, and that service of an administrative subpoena shall be effected by such service, and that service as aforesaid shall be taken and held in all courts and administrative tribunals to be valid and binding as if personal service thereof had been made.

8. I authorize all my employers and any other person to furnish to any jurisdiction, SRO, designated entity, employer, prospective employer, or any agent acting on its behalf, any information they have, including without limitation 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 U5). I recognize that I may be the subject of an investigative consumer report ordered by any jurisdiction, SRO, designated entity, employer, or prospective employer. I understand that I have the right to request complete and accurate disclosure by the jurisdiction, SRO, designated entity, employer or prospective employer 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 Section 1 (GENERAL INFORMATION) or Section 6 (REGISTRATION REQUESTS WITH AFFILIATED FIRMS) 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. I authorize any employer or prospective employer to file electronically on my behalf any information required in this form or any amendment thereto; I certify that I have reviewed and approved the information to be submitted to any jurisdiction or SRO on this Form U4 Application; I agree that I will review and approve all disclosure information that will be filed electronically on my behalf; I further agree to waive any objection to the admissibility of the electronically filed records in any criminal, civil, or administrative proceeding.

Applicant or applicant's agent has typed applicant's name under this section to attest to the completeness and accuracy of this record. The applicant recognizes that this typed name constitutes, in every way, use or aspect, his or her legally binding signature.

Date (MM/DD/YYYY):

Signature of Applicant:

Printed Name:

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

15B. FIRM/APPROPRIATE SIGNATORY REPRESENTATIONS**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 statutes, constitution(s), rules and by-laws of the agency, jurisdiction or SRO 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 SRO which hereby is requested, I will not employ the applicant in the capacity stated herein without first receiving the approval of any authority that may be required by law.

This firm has communicated with all of the applicant's previous employers for the past three years and has documentation on file with the names of the persons contacted and the date of contact. In addition, I have taken appropriate steps to verify the accuracy and completeness of the information contained in and with this application.

I have provided the applicant an opportunity to review the information contained herein and the applicant has approved this information and signed the Form U4.

Date (MM/DD/YYYY):

Printed Name:

Signature of Applicant:

15C. TEMPORARY REGISTRATION ACKNOWLEDGEMENT

If an applicant has been registered in a jurisdiction or self regulatory organization (SRO) in the 30 days prior to the date an application for registration is filed with the Central Registration Depository or Investment Adviser Registration Depository, he or she may qualify for a Temporary Registration to conduct securities business in that jurisdiction or SRO if this acknowledgment is executed and filed with the Form U4 at the applicant's firm.

This acknowledgment must be signed only if the applicant intends to apply for a Temporary Registration while the application for registration is under review.

I request a Temporary Registration in each jurisdiction and/or SRO requested on this Form U4, while my registration with the jurisdiction(s) and/or SRO(s) requested is under review;

I am requesting a Temporary Registration with the firm filing on my behalf for the jurisdiction(s) and/or SRO(s) noted in Section 4 (SRO REGISTRATION) and/or Section 5 (JURISDICTION REGISTRATION) of this Form U4;

I understand that I may request a Temporary Registration only in those jurisdiction(s) and/or SRO(s) in which I have been registered with my prior firm within the previous 30 days;

I understand that I may not engage in any securities activities requiring registration in a jurisdiction and/or SRO until I have received notice from the CRD or IARD that I have been granted a Temporary Registration in that jurisdiction and/or SRO;

I agree that until the Temporary Registration has been replaced by a registration, any jurisdiction and/or SRO in which I have applied for registration may withdraw the Temporary Registration;

If a jurisdiction or SRO withdraws my Temporary Registration, my application will then be held pending in that jurisdiction and/or SRO until its review is complete and the registration is granted or denied, or the application is withdrawn;

I understand and agree that, in the event my Temporary Registration is withdrawn by a jurisdiction and/or SRO, I must immediately cease any securities activities requiring a registration in that jurisdiction and/or SRO until it grants my registration;

I understand that by executing this Acknowledgment I am agreeing not to challenge the withdrawal of a Temporary Registration; however, I do not waive any right I may have in any jurisdiction and/or SRO with respect to any decision by that jurisdiction and/or SRO to deny my application for registration.

Date (MM/DD/YYYY):

Printed Name:

Signature of Applicant:

15D. AMENDMENT INDIVIDUAL/APPLICANT'S ACKNOWLEDGEMENT AND CONSENT

Date (MM/DD/YYYY):

Printed Name:

Signature of Applicant:

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

15E. FIRM/APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS

THE FIRM MUST COMPLETE THE FOLLOWING:

Date (MM/DD/YYYY):

Signature of Applicant:

Printed Name:

15F. FIRM/APPROPRIATE SIGNATORY CONCURRENCE

By typing an appropriate signatory's name in this field, I swear or affirm that I have reviewed and that I concur with this filing:

Date (MM/DD/YYYY):

Signature of Applicant:

Printed Name:

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

ATTACHMENT SHEET

Use this attachment to report continued information.

SECTION NUMBER

ANSWER

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

DISCLOSURE REPORTING PAGES**U4 - BANKRUPTCY/SIPC/COMPROMISE WITH CREDITORS DRP**

Rev. DRP (05/2009)

This Disclosure Reporting Page is an **INITIAL** or **AMENDED** response to report details for affirmative response(s) to Question(s) 14K on Form U4;

Check the question(s) you are responding to, regardless of whether you are answering the question(s) "yes" or amending the answer(s) to "no":

14K (1)**14K (2)****14K (3)**

If events result in affirmative answers to both 14K(1) and 14K(2), details to each must be provided on separate DRPs.

1. Action Type (select appropriate item):

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

Compromise Declaration Liquidation Receivership Other:

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

Exact:

Explanation

If not exact, provide explanation:

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

A. Organization Name:

B. Position, title or relationship:

C. Investment-related business? Yes No

4. Court action brought in: Federal Court State Court Foreign Court 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? Federal Court State Court Foreign Court**6. If not pending, provide Disposition Type (select appropriate item):**

Direct Payment Procedure Discharged Dismissed Dissolved SIPA Trustee Appointed

Satisfied/Released Other:

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

Exact

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 you: \$; or

The name of the Trustee:

B. Currently Open? Yes No

C. Date Direct Payment Initiated/Filed or Trustee Appointed

(MM/DD/YYYY): Exact Explanation

if not exact, provide explanation:

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

U4 - BANKRUPTCY/SIPC/COMPROMISE WITH CREDITORS DRP (CONTINUED)

Rev. DRP (05/2009)

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. Your information must fit within the space provided.

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

U4 - BOND DRP

Rev. DRP (05/2009)

This Disclosure Reporting Page is an **INITIAL** or **AMENDED** response to report details for affirmative response(s) to Question(s) 14L on Form U4;

Check the question(s) you are responding to, regardless of whether you are answering the question(s) "yes" or amending the answer(s) to "no": **14L**

If multiple, unrelated events result in the same affirmative answer, details must be provided on separate DRPs.

1. Firm Name (Policy Holder):

2. Bonding Company Name:

3. Disposition Type: **DENIED** **PAYOUT** **REVOKED**

4. Disposition Date (MM/DD/YYYY): **EXACT** **EXPLANATION**

If not exact, provide explanation:

5. If disposition resulted in Payout:

A. Payout Amount: \$

B. Date Paid (MM/DD/YYYY): **EXACT** **EXPLANATION**

If not exact, provide explanation:

6. 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. Your information must fit within the space provided.

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

U4 - CIVIL JUDICIAL DRP

Rev. DRP (05/2009)

This Disclosure Reporting Page is an **INITIAL** or **AMENDED** response to report details for affirmative response(s) to Question(s) 14H on Form U4;

Check the question(s) you are responding to, regardless of whether you are answering the question(s) "yes" or amending the answer(s) to "no":

14H(1)(a)**14H(1)(b)****14H(1)(c)****14H(2)**

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.

1. Court Action initiated by:

A. (Select appropriate item):

SEC

Other Federal Agency

Jurisdiction

Foreign Financial Regulatory Authority

Firm

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):
if not exact provide explanation:

Exact

Explanation

B. Date notice/process was served (MM/DD/YYYY):
if not exact provide explanation:

Exact

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:

Federal Court

State Court

Foreign Court

Military Court

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?**

Pending

On Appeal

Final

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

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

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):

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):

Consent

Judgment Rendered

Vacated Nunc Pro Tunc / ab initio

Settled

Dismissed

Vacated

Withdrawn

Other:

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

Exact

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)

Disgorgement

Monetary Penalty other than fines

Cease and Desist

Injunction

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):

Exact

Explanation

If not exact, provide
explanation:

Start Date (MM/DD/YYYY):

Exact

Explanation

If not exact, provide
explanation:

End Date (MM/DD/YYYY):

Exact

Explanation

If not exact, provide
explanation:

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

U4 - 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):

Exact

Explanation

If not exact, provide
explanation:

Start Date (MM/DD/YYYY):

Exact

Explanation

If not exact, provide
explanation:

End Date (MM/DD/YYYY):

Exact

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):

Exact

Explanation

If not exact, provide
explanation:

Start Date (MM/DD/YYYY):

Exact

Explanation

If not exact, provide
explanation:

End Date (MM/DD/YYYY):

Exact

Explanation

If not exact, provide
explanation:**Monetary Related Sanction Details**

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

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

Explanation:

Total Amount: \$ _____

Portion levied against you: \$ _____

Date Paid by You (MM/DD/YYYY): _____

Exact

Explanation

Was any portion of penalty waived? Yes No

If yes, amount: \$ _____

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

U4 - CIVIL JUDICIAL DRP (CONTINUED)

Rev. DRP (05/2009)

Monetary Related Sanction Details

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

Explanation:

Total Amount: \$ _____ Portion levied against you: \$ _____

Date Paid by You (MM/DD/YYYY): _____ Exact Explanation

Was any portion of penalty waived? Yes No

If yes, amount: \$ _____

Monetary Related Sanction Details

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

Explanation:

Total Amount: \$ _____ Portion levied against you: \$ _____

Date Paid by You (MM/DD/YYYY): _____ Exact Explanation

Was any portion of penalty waived? Yes 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 disposition and/or finding(s). Your information must fit within the space provided.

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

U4 - CRIMINAL DRP

Rev. DRP (05/2009)

This Disclosure Reporting Page is an **INITIAL** or **AMENDED** response to report details for affirmative response(s) to Question(s) 14A and 14B on Form U4;

14A(1)(a) **14A(2)(a)** **14B(1)(a)** **14B(2)(a)** **14A(1)(b)** **14A(2)(b)** **14B(1)(b)** **14B(2)(b)**

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. Multiple counts of the same charge arising out of the same event 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.

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.

1. If charge(s) were brought against an organization over which you exercise(d) control:

A. Organization Name:

B. Investment-related business? YES NO

C. Position, title or relationship:

2. Formal action was brought in: Federal Court State Court Foreign Court Military Court 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? Pending On Appeal Final

B. Event Status Date (complete unless status is pending) (MM/DD/YYYY): Exact 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) Exact 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 Misdemeanor Plea for each Charge:

Disposition of Charge:

Acquitted Deferred Adjudication Pled guilty Reduced

Amended Dismissed Pled not guilty Other (requires explanation below)

Convicted Found not guilty Pre-trial Intervention

Explanation:

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

U4 - CRIMINAL DRP (CONTINUED)

Rev. DRP (05/2009)

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:

Felony

Misdemeanor

Other

Plea for each amended or reduced charge:

Disposition of amended or reduced charge:

Acquitted

Deferred Adjudication

Pled guilty

Reduced

Amended

Dismissed

Pled not guilty

Other (requires explanation below)

Convicted

Found not guilty

Pre-trial Intervention

Explanation:

Charge Details (complete every field for each charge.)

Formal Charge/Description:

No. of Counts:

Felony

Misdemeanor

Plea for Each Charge:

Disposition of Charge:

Acquitted

Deferred Adjudication

Pled guilty

Reduced

Amended

Dismissed

Pled not guilty

Other (requires explanation below)

Convicted

Found not guilty

Pre-trial Intervention

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:

Felony

Misdemeanor

Plea for each Charge:

Plea for each amended or reduced charge:

Disposition of Charge:

Acquitted

Deferred Adjudication

Pled guilty

Reduced

Amended

Dismissed

Pled not guilty

Other (requires explanation below)

Convicted

Found not guilty

Pre-trial Intervention

Explanation:

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

U4 - CRIMINAL DRP (CONTINUED)

Rev. DRP (05/2009)

Charge Details (complete every field for each charge.)

Formal Charge/Description:

No. of Counts:

Felony

Misdemeanor

Plea for each Charge:

Disposition of Charge:

Acquitted

Deferred Adjudication

Pled guilty

Reduced

Amended

Dismissed

Pled not guilty

Other (requires explanation below)

Convicted

Found not guilty

Pre-trial Intervention

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:

Felony

Misdemeanor

Plea for each Charge:

Plea for each amended or reduced charge:

Disposition of amended or reduced charge:

Acquitted

Deferred Adjudication

Pled guilty

Reduced

Amended

Dismissed

Pled not guilty

Other (requires explanation below)

Convicted

Found not guilty

Pre-trial Intervention

Explanation:

C. Date of Disposition (MM/DD/YYYY):

Exact

Explanation

If not exact, provide explanation:

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. Your information must fit within the space provided.

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

U4 - CUSTOMER COMPLAINT/ARBITRATION/CIVIL LITIGATION DRP

Rev. DRP (05/2009)

This Disclosure Reporting Page is an **INITIAL** or **AMENDED** response to report details for affirmative response(s) to Question(s) 14I on Form U4; *Check the question(s) you are responding to, regardless of whether you are answering the question(s) "yes" or amending the answer(s) to "no":*

14I(1)(a)	14I(1)(c)	14I(2)(a)	14I(3)(a)	14I(4)(a)	14I(5)(a)
14I(1)(b)	14I(1)(d)	14I(2)(b)	14I(3)(b)	14I(4)(b)	14I(5)(b)

One matter may result in more than one affirmative answer to the above items. Use a single DRP to report details relating to a particular matter (i.e., a customer complaint/arbitration/CFTC reparation/civil litigation). Use a separate DRP for each matter.

DRP Instructions:

- Complete items 1-6 for all matters (i.e., customer complaints, arbitrations/CFTC reparations and civil litigation in which a customer alleges that you were involved in sales practice violations and you are not named as a party, as well as arbitrations/CFTC reparations and civil litigation in which you are named as a party).
- If the matter involves a customer complaint, or an arbitration/CFTC reparation or civil litigation in which a customer alleges that you were involved in sales practice violations and you are not named as a party, complete items 7-11 as appropriate.
- If a customer complaint has evolved into an arbitration/CFTC reparation or civil litigation, amend the existing DRP by completing items 9 and 10.
- If the matter involves an arbitration/CFTC reparation in which you are a named party, complete items 12-16, as appropriate. If the matter involves a civil litigation in which you are a named party, complete items 17-23.
- Item 24 is an optional field and applies to all event types (i.e., customer complaint, arbitration/CFTC reparation, civil litigation).

Complete items 1-6 for all matters (i.e., customer complaints, arbitrations/CFTC reparations, civil litigation).**1.** Customer Name(s):**2.** A. Customer(s) State of Residence (select "not on list" when the customer's residence is a foreign address):

B. Other state(s) of residence/detail:

3. Employing Firm when activities occurred which led to the customer complaint, arbitration, CFTC reparation or civil litigation:**4.** Allegation(s) and a brief summary of events related to the allegation(s) including dates when activities leading to the allegation(s) occurred:**5.** 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:

6. Alleged Compensatory Damage Amount:\$

Exact

Explanation (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):

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

U4 - CUSTOMER COMPLAINT/ARBITRATION/CIVIL LITIGATION DRP (CONTINUED)

Rev. DRP (05/2009)

If the matter involves a customer complaint, arbitration/CFTC reparation or civil litigation in which a customer alleges that you were involved in a sales practice violation and you are not named as a party, complete items 7-11 as appropriate. [Note: Report in Items 12-16, or 17-23, as appropriate, only arbitrations/CFTC reparations or civil litigation in which you are named as a party.]

7. A. Is this an oral complaint? Yes No
 B. Is this a written complaint? Yes No
 C. Is this an arbitration/CFTC reparation or civil litigation? Yes No
 If yes provide:
 i. Arbitration/reparation forum or court name and location:
 ii. Docket/Case#:
 iii. Filing date of arbitration/CFTC reparation or civil litigation (MM/DD/YYYY):
 D. Date received by/served on firm (MM/DD/YYYY): Exact Explanation
 If not exact, provide explanation:

8. Is the complaint, arbitration/CFTC reparation or civil litigation pending? Yes No
 If "No", complete item 9.

9. If the complaint, arbitration/CFTC reparation or civil litigation is not pending, provide status:
 Closed/No Action Withdrawn Denied Settled
 Arbitration Award/Monetary Judgment (for claimants/plaintiffs)
 Arbitration Award/Monetary Judgment (for respondents/defendants)
 Evolved into Arbitration/CFTC reparation (you are a named party)
 Evolved into Civil litigation (you are a named party)

If status is arbitration/CFTC reparation in which you are not a named party, provide details in item 7C.
 If status is arbitration/CFTC reparation in which you are a named party, complete items 12-16.
 If status is civil litigation in which you are a named party, complete items 17-23.

10. Status Date (MM/DD/YYYY): Exact Explanation
 If not exact, provide explanation:

11. Settlement/Award/Monetary Judgment:
 A. Settlement/Award/Monetary Judgment amount: \$
 B. Your Contribution Amount: \$
 If the matter involves an arbitration or CFTC reparation in which you are a named respondent, complete items 12-16, as appropriate.

12. A. Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):
 B. Docket/Case#:
 C. Date notice/process was served (MM/DD/YYYY): Exact Explanation
 If not exact, provide explanation:

13. Is arbitration/ CFTC reparation pending? Yes No
 If "No", complete item 14.

14. If the arbitration/CFTC reparation is not pending, what was the disposition?
 Award to Applicant (Agent/Representative) Award to Customer Denied Dismissed
 Judgment (other than monetary) No Action Settled Withdrawn
 Other:
 15. Disposition Date (MM/DD/YYYY): Exact Explanation
 If not exact, provide explanation:

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

U4 - CUSTOMER COMPLAINT/ARBITRATION/CIVIL LITIGATION DRP (CONTINUED)

Rev. DRP (05/2009)

16. Monetary Compensation Details (award, settlement, reparation amount):

A. Total Amount: \$

B. Your Contribution Amount: \$

If the matter involves a civil litigation in which you are a defendant, complete items 17-23.

17. Court in which case was filed:

Federal Court

State Court

Foreign Court

Military Court

Other

A. Name of Court:

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

C. Docket/Case#:

18. Date received by/served on firm (MM/DD/YYYY):

Exact

Explanation

If not exact, provide explanation:

19. Is the civil litigation pending?

Yes

No

*If "No", complete item 20.***20. If the civil litigation is not pending, what was the disposition?**

Denied

Settled

Monetary Judgment to Applicant (Agent/Representative)

Dismissed

Withdrawn

Judgment (other than monetary)

No Action

Monetary Judgment to Customer

Other

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

Exact

Explanation

If not exact, provide explanation:

22. Monetary Compensation Details (judgment, restitution, settlement amount):

A. Total Amount: \$

B. Your Contribution Amount: \$

23. If action is currently on appeal:

A. Enter date appeal filed (MM/DD/YYYY):

Exact

Explanation

If not exact, provide explanation:

B. Court appeal filed in:

Federal Court

State Court

Foreign Court

Military Court

Other

i. Name of Court:

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

iii. Docket/Case#:

24. Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the customer complaint, arbitration/CFTC reparation and/or civil litigation as well as the current status or final disposition(s). Your information must fit within the space provided.

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

U4 - INVESTIGATION DRP

Rev. DRP (05/2009)

This Disclosure Reporting Page is an **INITIAL or AMENDED** response to report details for affirmative response(s) to Question(s) 14G(2) on Form U4; Check the question(s) you are responding to, regardless of whether you are answering the question(s) "yes" or amending the answer(s) to "no":

14G(2)

Complete this DRP only if you are answering "yes" to Item 14G(2). If you answered "yes" to Item 14G(1), complete the Regulatory Action DRP. If you have been notified that the investigation has been concluded without formal action, complete items 4 and 5 of this DRP to update. One event may result in more than one investigation. If more than one authority is investigating you, use a separate DRP to provide details.

1. Investigation initiated by:

A. Notice Received From (select appropriate item):

SRO Foreign Financial Regulatory Authority Jurisdiction SEC Other Federal Agency
Other

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

2. Notice Date (MM/DD/YYYY):

Exact

Explanation

If not exact, provide explanation:

3. Describe briefly the nature of the investigation, if known. (Your information must fit within the space provided.):**4. Is investigation pending? YES NO**

If no, complete item 5. If yes, skip to item 6.

5. Resolution Details:

A. Date Closed/Resolved (MM/DD/YYYY):

Exact

Explanation

If not exact, provide explanation:

B. How was investigation resolved? (select appropriate item):

Closed Without Further Action

Closed - Regulatory Action Initiated

Other

6. Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the investigation, as well as the current status or final disposition and/or finding(s). Your information must fit within the space provided.

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

U4 - JUDGMENT/LIEN DRP

Rev. DRP (05/2009)

This Disclosure Reporting Page is an **INITIAL or AMENDED** response to report details for affirmative response(s) to Question(s) 14M on Form U4; Check the question(s) you are responding to, regardless of whether you are answering the question(s) "yes" or amending the answer(s) to "no": **14M**

If multiple, unrelated events result in the same affirmative answer, details must be provided on separate DRPs.

1. Judgment/Lien Amount:\$

2. Judgment/Lien Holder:

3. Judgment/Lien Type: Civil Tax

4. A. Date Filed with Court (MM/DD/YYYY): Exact Explanation
If not exact, provide explanation:

B. Date individual learned of the Judgment/Lien (MM/DD/YYYY): Exact Explanation
If not exact, provide explanation:

5. Court action brought in: Federal Court State Court Foreign Court 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.

6. Is Judgment/Lien outstanding? Yes No
If "No", complete item 7. If "Yes", skip to item 8.

7. If Judgment/Lien is not outstanding, provide:

A. Status Date (MM/DD/YYYY): Exact Explanation

If not exact, provide explanation:

B. How was matter resolved? (select appropriate item): Discharged Released Removed Satisfied

8. 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. Your information must fit within the space provided.

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

U4 - REGULATORY ACTION DRP

Rev. DRP (05/2009)

This Disclosure Reporting Page is an **INITIAL or AMENDED** response to report details for affirmative response(s) to Question(s) 14C, 14D, 14E, 14F and 14G(1) on Form U4;

Check the question(s) you are responding to, regardless of whether you are answering the question(s) "yes" or amending the answer(s) to "no":

14C(1)	14C(5)	14D(1)(a)	14D(1)(e)	14E(2)	14E(6)
14C(2)	14C(6)	14D(1)(b)	14D(2)(a)	14E(3)	14E(7)
14C(3)	14C(7)	14D(1)(c)	14D(2)(b)	14E(4)	14F
14C(4)	14C(8)	14D(1)(d)	14E(1)	14E(5)	14G(1)

One event may result in more than one affirmative answer to the above items. Use only one DRP to report details to the same event. If an event gives rise to actions by more than one regulator, provide details to each action on a separate DRP.

1. Regulatory Action initiated by:

A. (Select appropriate item):

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

Exact

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?**

Pending

On Appeal

Final

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

U4 - REGULATORY ACTION DRP (CONTINUED)

Rev. DRP (05/2009)

9. If pending, are there any limitations or restrictions currently in effect? Pending On Appeal
If the answer is 'yes', provide details:

10. If on appeal:

A. Action appealed to:

SEC SRO CFTC Federal Court State Agency or Commission State Court
Other

- B. Date Closed/Resolved (MM/DD/YYYY): Exact Explanation
If not exact, provide explanation:

- C. Are there any limitations or restrictions currently in effect while on appeal? Yes No
If not exact, provide explanation:

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):

Acceptance, Waiver & Consent (AWC) Consent Decision
Decision & Order of Offer of Settlement Dismissed Order
Settled Stipulation and Consent Vacated
Vacated Nunc Pro Tunc/ab initio Withdrawn
Other

- B. Resolution Date (MM/DD/YYYY): Exact 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, manipulative or deceptive conduct?
Yes 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 Re-qualification
Rescission Restitution Revocation
Suspension Undertaking

B. Other sanctions ordered:

C. If suspended or barred, provide:

Sanction Details

Sanction type: Bar (Permanent) Bar (Temporary/Time Limited) Suspension
Registration Capacities affected (e.g., General Securities Principal, Financial Operations Principal, All Capacities, etc.):

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

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

U4 - REGULATORY ACTION DRP (CONTINUED)

Rev. DRP (05/2009)

Start Date (MM/DD/YYYY):
If not exact, provide explanation:

Exact

Explanation

End Date (MM/DD/YYYY):
If not exact, provide explanation:

Exact

Explanation

Sanction Details

Sanction type: Bar (Permanent) Bar (Temporary/Time Limited) Suspension
Registration Capacities affected (e.g., General Securities Principal, Financial Operations Principal, All Capacities, etc.):

Duration (length of time):
If not exact, provide explanation:

Exact

Explanation

Start Date (MM/DD/YYYY):
If not exact, provide explanation:

Exact

Explanation

End Date (MM/DD/YYYY):
If not exact, provide explanation:

Exact

Explanation

Sanction Details

Sanction type: Bar (Permanent) Bar (Temporary/Time Limited) Suspension
Registration Capacities affected (e.g., General Securities Principal, Financial Operations Principal, All Capacities, etc.):

Duration (length of time):
If not exact, provide explanation:

Exact

Explanation

Start Date (MM/DD/YYYY):
If not exact, provide explanation:

Exact

Explanation

End Date (MM/DD/YYYY):
If not exact, provide explanation:

Exact

Explanation

FIRM CRD #:

Rev. DRP (05/2009)

Payment Plan:

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

U4 - REGULATORY ACTION DRP (CONTINUED)

Rev. DRP (05/2009)

Is Payment Plan Current?

Yes

No

Date Paid by you (MM/DD/YYYY):

Exact

Explanation

If not exact, provide explanation:

Was any portion of penalty waived?

Yes

No

If yes, amount: \$

Monetary Sanction Details

Monetary Related Sanction Type:

Civil and Administrative Penalty(ies)/Fine(s)**Monetary Penalty other than Fines****Disgorgement****Restitution**

Total Amount:

Portion Levied against you: \$

Payment Plan:

Is Payment Plan Current?

Yes

No

Date Paid by you (MM/DD/YYYY):

Exact

Explanation

If not exact, provide explanation:

Was any portion of penalty waived?

Yes

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 disposition and/or finding(s). Your information must fit within the space provided.

INDIVIDUAL NAME:

INDIVIDUAL CRD #:

FIRM NAME:

FIRM CRD #:

U4 - REGULATORY ACTION DRP (CONTINUED)

Rev. DRP (05/2009)

This Disclosure Reporting Page is an **INITIAL or AMENDED** response to report details for affirmative response(s) to Question(s) 14J on Form U4; **Check the question(s) you are responding to, regardless of whether you are answering the question(s) "yes" or amending the answer(s) to "no":**

14J(1)**14J(2)****14J(3)**

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 termination. Use a separate DRP for each termination reported.

1. Firm Name:

2. Termination Type:

Discharged**Permitted to Resign****Voluntary Resignation**

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

Exact

Explanation

If not exact, provide explanation:

4. Allegation(s):

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

No Product

Annuity-Charitable

Annuity-Fixed

Annuity-Variable

Banking Product (other than CD)

CD

Commodity Option

Debt-Asset Backed

Debt-Corporate

Debt-Government

Debt-Municipal

Derivative

Direct Investment-DPP & LP Interest

Equipment Leasing

Equity Listed (Common & Preferred Stock)

Equity-OTC

Futures Commodity

Futures-Financial

Index Option

Insurance

Investment Contract

Money Market Fund

Mutual Fund

Oil & Gas

Options

Penny Stock

Prime Bank Instrument

Promissory Note

Real Estate Security

Security Futures

Unit Investment Trust

Viatical Settlement

Other:

6. Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the termination. Your information must fit within the space provided.