

[Form U4 Explanation of Terms](#)



Form U4 Explanation of Terms

The following definitions apply to terms that are italicized in Form U4:

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| Affiliated | Means under common ownership or control. |
| Affiliated Firm | Means a broker-dealer under common ownership or control with the <i>filing firm</i> . |
| Applicant | Means the individual for whom the Form U4 is being filed. The term <i>applicant</i> may be used interchangeably with the term "individual." The instructions also refer to the individual <i>applicant</i> as "you" in various places because individuals independently may complete all or portions of the Form U4 before it is filed by a <i>firm</i> on the individual's behalf. For purposes of Form U4, an <i>applicant</i> is not a <i>firm</i> . |
| Appropriate Signatory | Means the individual the <i>firm</i> authorizes to execute the <i>applicant's</i> Form U4 on the <i>filing firm's</i> behalf. The <i>appropriate signatory</i> must meet the criteria established, if any, by the appropriate <i>SRO</i> or <i>jurisdiction</i> . |
| Charged | Means being accused of a crime in a formal complaint, information, or indictment (or equivalent formal charge). |
| 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 <i>firm</i> 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. |
| Designated Entity | Means the entity designated as the filing depository by the U.S. Securities and Exchange Commission pursuant to the Investment Advisers Act of 1940. |
| Enjoined | Includes being subject to a mandatory injunction, prohibitory injunction, preliminary injunction or a temporary restraining order. |
| Federal Banking Agency | Shall include any Federal banking agency as defined in Section 3 of the Federal Deposit Insurance Act (12 U.S.C. 1813(q)). |
| Felony | For <i>jurisdictions</i> that do not differentiate between a <i>felony</i> or <i>misdemeanor</i> , 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. |

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| Filing Firm | Means the <i>firm</i> named in Section 1 (GENERAL INFORMATION) on the Form U4. |
| Final Order | For purposes of Question 14D(2), means a written directive or declaratory statement issued by an appropriate federal or state agency (as identified in Question 14D(2)) pursuant to applicable statutory authority and procedures, that constitutes a final disposition or action by that federal or state agency. |
| Firm | Means a broker-dealer, investment adviser, or issuer, as appropriate. |
| Firm CRD Number | Is a unique number assigned to each <i>firm</i> listed in the CRD or IARD system. |
| Foreign Financial Regulatory Authority | Includes a foreign securities authority; any other governmental body or foreign equivalent of a <i>self-regulatory organization</i> empowered by a foreign government to administer or enforce its laws relating to the regulation of <i>investment-related</i> activities; or a membership organization, a function of which is to regulate the participation of its members in <i>investment-related</i> activities listed above. |
| 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, cautionary actions, letters of caution, admonishments, and similar informal resolutions of matters. |
| Individual CRD Number | Is a unique number assigned to each individual listed in the CRD or IARD system. |
| Investigation | Includes: (a) grand jury investigations; (b) U.S. Securities and Exchange Commission investigations after the "Wells" notice has been given; (c) FINRA. investigations after the "Wells" notice has been given or after a person associated with a member, as defined by The FINRA By-Laws, has been advised by the staff that it intends to recommend formal disciplinary action; (d) NYSE Regulation investigations after the "Wells" notice has been given or after a person over whom NYSE Regulation has jurisdiction, as defined in the applicable rules, has been advised by NYSE Regulation that it intends to recommend formal disciplinary action; (e) formal investigations by other <i>SROs</i> ; or (f) actions or procedures designated as investigations by <i>jurisdictions</i> . The term <i>investigation</i> does not include subpoenas, preliminary or routine regulatory inquiries or requests for information, deficiency letters, "blue sheet" requests or other trading questionnaires, or examinations. |
| 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). |
| Involved | Means doing an act or aiding, abetting, counseling, commanding, inducing, conspiring with or failing reasonably to supervise another in doing an act. |
| Jurisdiction | Means a state, District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands or any subdivision or regulatory body thereof. |

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| Minor Rule Violation | Is a violation of a <i>self-regulatory organization</i> rule that 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 <i>self-regulatory organization</i> to determine if a particular rule violation has been designated as “minor” for these purposes. |
| 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. |
| Order | 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. |
| Proceeding | A formal administrative or civil action initiated by a governmental agency, <i>self-regulatory organization</i> or a <i>foreign financial regulatory authority</i> ; a <i>felony</i> criminal indictment or information (or equivalent formal charge), or a <i>misdemeanor</i> 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: <i>Investment-related</i> civil litigation, other than that specified above, is reportable under Question 14H on Form U4. An <i>investigation</i> is reportable under Question 14G on Form U4. |
| Resign or Resigned | Relates to separation from employment with any employer, is not restricted to <i>investment-related</i> employment, and includes any termination in which the allegations are a proximate cause of the separation, even if you initiated the separation. |
| 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 <i>self-regulatory organization</i> ; any provision of the Securities 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. |
| Self-Regulatory Organization or SRO | Any national securities or commodities exchange, any national securities association (e.g., FINRA), or any registered clearing agency. |

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| 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 <i>firm</i> ? <input type="radio"/> Yes <input type="radio"/> No | | | | | | |
| Office of Employment Address: | | | | | | |
| <input type="radio"/> Registered <input type="radio"/> Non-Registered | CRD BRANCH #: | NYSE BRANCH CODE#: | FIRM BILLING CODE: | <input type="radio"/> Located At <input type="radio"/> Supervised 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. <input type="checkbox"/> | | | | | | |
| <input type="radio"/> Registered <input type="radio"/> Non-Registered | CRD BRANCH #: | NYSE BRANCH CODE#: | FIRM BILLING CODE: | <input type="radio"/> Located At <input type="radio"/> Supervised 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. <input type="checkbox"/> | | | | | | |
| <input type="radio"/> Registered <input type="radio"/> Non-Registered | CRD BRANCH #: | NYSE BRANCH CODE#: | FIRM BILLING CODE: | <input type="radio"/> Located At <input type="radio"/> Supervised 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. <input type="checkbox"/> | | | | | | |

| 2. FINGERPRINT INFORMATION |
|--|
| <p><u>Electronic Filing Representation</u></p> <p><input type="radio"/> 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 _____</p> <p><input type="radio"/> By selecting this option, I represent that I have been employed continuously by the <i>filing firm</i> since the last submission of a fingerprint card to CRD and am not required to resubmit a fingerprint card at this time; or,</p> <p><input type="radio"/> By selecting this option, I represent that I have been employed continuously by the <i>filing firm</i> 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.</p> <p><u>Exceptions to the Fingerprint Requirement</u></p> <p><input type="radio"/> By selecting one or more of the following two options, I affirm that I am exempt from the federal fingerprint requirement because I/<i>filing firm</i> 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:</p> <p><input type="checkbox"/> Rule 17f-2(a)(1)(i)</p> <p><input type="checkbox"/> Rule 17f-2(a)(1)(iii)</p> <p><u>Investment Adviser Representative Only Applicants</u></p> <p><input type="radio"/> 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 <i>firm</i> to become a broker-dealer representative. If this radio button/box is selected, continue below.</p> <p><input type="radio"/> I am applying for registration only in <i>jurisdictions</i> that do not have fingerprint card filing requirements, or</p> <p><input type="radio"/> I am applying for registration in <i>jurisdictions</i> that have fingerprint card filing requirements and I am submitting, have submitted, or promptly will submit the appropriate fingerprint card directly to the <i>jurisdictions</i> for processing pursuant to applicable <i>jurisdiction</i> rules.</p> |

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:

- | | Yes | No |
|---|-----------------------|-----------------------|
| A. Will <i>applicant</i> maintain registration with a broker-dealer that is not <i>affiliated</i> with the <i>filing firm</i> ? If you answer "yes," list the <i>firm(s)</i> in Section 12 (Employment History). | <input type="radio"/> | <input type="radio"/> |
| B. Will <i>applicant</i> maintain registration with an investment adviser that is not <i>affiliated</i> with the <i>filing firm</i> ? If you answer "yes," list the <i>firm(s)</i> in Section 12 (Employment History). | <input type="radio"/> | <input type="radio"/> |

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

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

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 <i>firm</i> ? <input type="radio"/> Yes <input type="radio"/> No |

AFFILIATED FIRM BILLING CODE:

Office of Employment Address:

| | | | | | | |
|--------------------------------------|---------------|--------------------|--------------------|---------------------------------------|-------------|-----------|
| <input type="radio"/> Registered | CRD BRANCH #: | NYSE BRANCH CODE#: | FIRM BILLING CODE: | <input type="radio"/> Located At | START DATE: | END DATE: |
| <input type="radio"/> Non-Registered | | | | <input type="radio"/> Supervised From | | |

| | | |
|--|-------|--------|
| 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.

| | | | | | | |
|--------------------------------------|---------------|--------------------|--------------------|---------------------------------------|-------------|-----------|
| <input type="radio"/> Registered | CRD BRANCH #: | NYSE BRANCH CODE#: | FIRM BILLING CODE: | <input type="radio"/> Located At | START DATE: | END DATE: |
| <input type="radio"/> Non-Registered | | | | <input type="radio"/> Supervised From | | |

| | | |
|--|-------|--------|
| 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.

| | | | | | | |
|--------------------------------------|---------------|--------------------|--------------------|---------------------------------------|-------------|-----------|
| <input type="radio"/> Registered | CRD BRANCH #: | NYSE BRANCH CODE#: | FIRM BILLING CODE: | <input type="radio"/> Located At | START DATE: | END DATE: |
| <input type="radio"/> Non-Registered | | | | <input type="radio"/> Supervised From | | |

| | | |
|--|-------|--------|
| 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*.

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 *affiliated 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 *affiliated 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.

| | | | | | | | |
|-------------------------------|--------------------------------|------------------------------|--------------------------------|--------------------------------|--|--|--|
| <input type="checkbox"/> SIE | <input type="checkbox"/> S16 | <input type="checkbox"/> S30 | <input type="checkbox"/> S52TO | <input type="checkbox"/> S79TO | | | |
| <input type="checkbox"/> S3 | <input type="checkbox"/> S22TO | <input type="checkbox"/> S31 | <input type="checkbox"/> S53 | <input type="checkbox"/> S82TO | | | |
| <input type="checkbox"/> S4 | <input type="checkbox"/> S23 | <input type="checkbox"/> S32 | <input type="checkbox"/> S54 | <input type="checkbox"/> S86 | | | |
| <input type="checkbox"/> S6TO | <input type="checkbox"/> S24 | <input type="checkbox"/> S34 | <input type="checkbox"/> S57TO | <input type="checkbox"/> S87 | | | |
| <input type="checkbox"/> S7TO | <input type="checkbox"/> S26 | <input type="checkbox"/> S39 | <input type="checkbox"/> S63 | <input type="checkbox"/> S99TO | | | |
| <input type="checkbox"/> S9 | <input type="checkbox"/> S27 | <input type="checkbox"/> S50 | <input type="checkbox"/> S65 | <input type="checkbox"/> S101 | | | |
| <input type="checkbox"/> S10 | <input type="checkbox"/> S28 | <input type="checkbox"/> S51 | <input type="checkbox"/> S66 | <input type="checkbox"/> S201 | | | |
| <input type="checkbox"/> S14 | | | | | | | |

Other _____ (Paper Form Only)

OPTIONAL: Foreign Exam City _____ Date (MM/DD/YYYY) _____

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

Exam type: _____ Date taken (MM/DD/YYYY): _____

8. PROFESSIONAL DESIGNATIONS

Select each designation you currently maintain.

- | | | |
|--|--|--|
| <input type="checkbox"/> Certified Financial Planner | <input type="checkbox"/> Chartered Financial Consultant (ChFC) | <input type="checkbox"/> Personal Financial Specialist (PFS) |
| <input type="checkbox"/> Chartered Financial Analyst (CFA) | <input type="checkbox"/> Chartered Investment Counselor (CIC) | |

| 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: <input type="radio"/> Male <input type="radio"/> 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: |

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 <i>FIRM</i> OR COMPANY: | CITY: |
| STATE: | COUNTRY: | INVESTMENT-RELATED BUSINESS? <input type="radio"/> Yes <input type="radio"/> No | POSITION HELD: |
| FROM (MM/YYYY): | TO (MM/YYYY): | NAME OF <i>FIRM</i> OR COMPANY: | CITY: |
| STATE: | COUNTRY: | INVESTMENT-RELATED BUSINESS? <input type="radio"/> Yes <input type="radio"/> No | POSITION HELD: |
| FROM (MM/YYYY): | TO (MM/YYYY): | NAME OF <i>FIRM</i> OR COMPANY: | CITY: |
| STATE: | COUNTRY: | INVESTMENT-RELATED BUSINESS? <input type="radio"/> Yes <input type="radio"/> No | POSITION HELD: |
| FROM (MM/YYYY): | TO (MM/YYYY): | NAME OF <i>FIRM</i> OR COMPANY: | CITY: |
| STATE: | COUNTRY: | INVESTMENT-RELATED BUSINESS? <input type="radio"/> Yes <input type="radio"/> No | POSITION HELD: |
| FROM (MM/YYYY): | TO (MM/YYYY): | NAME OF <i>FIRM</i> OR COMPANY: | CITY: |
| STATE: | COUNTRY: | INVESTMENT-RELATED BUSINESS? <input type="radio"/> Yes <input type="radio"/> No | POSITION HELD: |
| FROM (MM/YYYY): | TO (MM/YYYY): | NAME OF <i>FIRM</i> OR COMPANY: | CITY: |
| STATE: | COUNTRY: | INVESTMENT-RELATED BUSINESS? <input type="radio"/> Yes <input type="radio"/> No | POSITION HELD: |
| FROM (MM/YYYY): | TO (MM/YYYY): | NAME OF <i>FIRM</i> OR COMPANY: | CITY: |
| STATE: | COUNTRY: | INVESTMENT-RELATED BUSINESS? <input type="radio"/> Yes <input type="radio"/> No | POSITION HELD: |
| FROM (MM/YYYY): | TO (MM/YYYY): | NAME OF <i>FIRM</i> OR COMPANY: | CITY: |
| STATE: | COUNTRY: | INVESTMENT-RELATED BUSINESS? <input type="radio"/> Yes <input type="radio"/> No | POSITION HELD: |
| FROM (MM/YYYY): | TO (MM/YYYY): | NAME OF <i>FIRM</i> OR COMPANY: | CITY: |
| STATE: | COUNTRY: | INVESTMENT-RELATED BUSINESS? <input type="radio"/> Yes <input type="radio"/> No | POSITION HELD: |
| FROM (MM/YYYY): | TO (MM/YYYY): | NAME OF <i>FIRM</i> OR COMPANY: | CITY: |
| STATE: | COUNTRY: | INVESTMENT-RELATED BUSINESS? <input type="radio"/> Yes <input type="radio"/> No | POSITION HELD: |
| FROM (MM/YYYY): | TO (MM/YYYY): | NAME OF <i>FIRM</i> OR COMPANY: | CITY: |
| STATE: | COUNTRY: | INVESTMENT-RELATED BUSINESS? <input type="radio"/> Yes <input type="radio"/> No | POSITION HELD: |
| FROM (MM/YYYY): | TO (MM/YYYY): | NAME OF <i>FIRM</i> OR COMPANY: | CITY: |
| STATE: | COUNTRY: | INVESTMENT-RELATED BUSINESS? <input type="radio"/> Yes <input type="radio"/> No | POSITION HELD: |

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.

| 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 <i>felony</i> ? | <input type="radio"/> | <input type="radio"/> |
| (b) been <i>charged</i> with any <i>felony</i> ? | <input type="radio"/> | <input type="radio"/> |
| (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 any <i>felony</i> ? | <input type="radio"/> | <input type="radio"/> |
| (b) been <i>charged</i> with any <i>felony</i> ? | <input type="radio"/> | <input type="radio"/> |
| 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 <i>misdemeanor involving</i> : investments or an <i>investment-related</i> 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? | <input type="radio"/> | <input type="radio"/> |
| (b) been <i>charged</i> with a <i>misdemeanor</i> specified in 14B(1)(a)? | <input type="radio"/> | <input type="radio"/> |
| (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 <i>misdemeanor</i> specified in 14B(1)(a)? | <input type="radio"/> | <input type="radio"/> |
| (b) been <i>charged</i> with a <i>misdemeanor</i> specified in 14B(1)(a)? | <input type="radio"/> | <input type="radio"/> |
| Regulatory Action Disclosure | | |
| 14C. Has the U.S. Securities and Exchange Commission or the Commodity Futures Trading Commission ever: | YES | NO |
| (1) <i>found</i> you to have made a false statement or omission? | <input type="radio"/> | <input type="radio"/> |
| (2) <i>found</i> you to have been <i>involved</i> in a violation of its regulations or statutes? | <input type="radio"/> | <input type="radio"/> |
| (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? | <input type="radio"/> | <input type="radio"/> |
| (4) entered an <i>order</i> against you in connection with <i>investment-related</i> activity? | <input type="radio"/> | <input type="radio"/> |
| (5) imposed a civil money penalty on you, or <i>ordered</i> you to cease and desist from any activity? | <input type="radio"/> | <input type="radio"/> |
| (6) <i>found</i> 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 <i>found</i> you to have been unable to comply with any provision of such Act, rule or regulation? | <input type="radio"/> | <input type="radio"/> |
| (7) <i>found</i> 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? | <input type="radio"/> | <input type="radio"/> |
| (8) <i>found</i> 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? | <input type="radio"/> | <input type="radio"/> |
| 14D. (1) Has any other Federal regulatory agency or any state regulatory agency or foreign financial regulatory authority ever: | | |
| (a) <i>found</i> you to have made a false statement or omission or been dishonest, unfair or unethical? | <input type="radio"/> | <input type="radio"/> |
| (b) <i>found</i> you to have been <i>involved</i> in a violation of <i>investment-related</i> regulation(s) or statute(s)? | <input type="radio"/> | <input type="radio"/> |
| (c) <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? | <input type="radio"/> | <input type="radio"/> |
| (d) entered an <i>order</i> against you in connection with an <i>investment-related</i> activity? | <input type="radio"/> | <input type="radio"/> |
| (e) denied, suspended, or revoked your registration or license or otherwise, by <i>order</i> , prevented you from associating with an <i>investment-related</i> business or restricted your activities? | <input type="radio"/> | <input type="radio"/> |

| 14. DISCLOSURE QUESTIONS (CONTINUED) | | |
|---|--|--|
| | YES | NO |
| <p>(2) Have you been subject to any <i>final order</i> 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 <i>federal banking agency</i>, 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 <i>final order</i> based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</p> | <p><input type="radio"/></p> <p><input type="radio"/></p> | <p><input type="radio"/></p> <p><input type="radio"/></p> |
| <p>14E. Has any self-regulatory organization 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>(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) <i>found</i> 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 <i>found</i> you to have been unable to comply with any provision of such Act, rule or regulation?</p> <p>(6) <i>found</i> 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) <i>found</i> 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><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></p> | <p><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></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><input type="radio"/></p> | <p><input type="radio"/></p> |
| <p>14G. Have you been notified, in writing, that you are now the subject of any:</p> <p>(1) regulatory complaint or <i>proceeding</i> that could result in a "yes" answer to any part of 14C, D or E? (If "yes", complete the <i>Regulatory Action Disclosure Reporting Page</i>.)</p> <p>(2) <i>investigation</i> that could result in a "yes" answer to any part of 14A, B, C, D or E? (If "yes", complete the <i>Investigation Disclosure Reporting Page</i>.)</p> | <p><input type="radio"/></p> <p><input type="radio"/></p> | <p><input type="radio"/></p> <p><input type="radio"/></p> |
| Civil Judicial Disclosure | | |
| | YES | NO |
| <p>14H. (1) Has any domestic or foreign court ever:</p> <p>(a) <i>enjoined</i> you in connection with any <i>investment-related</i> activity?</p> <p>(b) <i>found</i> that you were <i>involved</i> in a violation of any <i>investment-related</i> statute(s) or regulation(s)?</p> <p>(c) dismissed, pursuant to a settlement agreement, an <i>investment-related</i> civil action brought against you by a state or <i>foreign financial regulatory authority</i>?</p> <p>(2) Are you named in any pending <i>investment-related</i> civil action that could result in a "yes" answer to any part of 14H(1)?</p> | <p><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></p> | <p><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></p> |
| Customer Complaint/Arbitration/Civil Litigation Disclosure | | |
| | YES | NO |
| <p>14I. (1) Have you ever been <u>named</u> 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, 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> | <p><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></p> | <p><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></p> |

| 14. DISCLOSURE QUESTIONS (CONTINUED) | | |
|---|--|--|
| | YES | NO |
| <p>(2) Have you ever been the subject of an <i>investment-related</i>, consumer-initiated (written or oral) complaint, which alleged that you were <i>involved</i> in one or more <i>sales practice violations</i>, and which:</p> <p>(a) was settled, prior to 05/18/2009, for an amount of \$10,000 or more, or;</p> <p>(b) was settled, on or after 05/18/2009, for an amount of \$15,000 or more?</p> | <p><input type="radio"/></p> <p><input type="radio"/></p> | <p><input type="radio"/></p> <p><input type="radio"/></p> |
| <p>(3) 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 question 14I(2) above, which:</p> <p>(a) 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 (if no damage amount is alleged, the complaint must be reported unless the <i>firm</i> has made a good faith determination that the damages from the alleged conduct would be less than \$5,000), or;</p> <p>(b) alleged that you were <i>involved</i> in forgery, theft, misappropriation or conversion of funds or securities?</p> | <p><input type="radio"/></p> <p><input type="radio"/></p> | <p><input type="radio"/></p> <p><input type="radio"/></p> |
| <p>Answer questions (4) and (5) below only for arbitration claims or civil litigation filed on or after 05/18/2009.</p> | | |
| <p>(4) Have you ever been the subject of an <i>investment-related</i>, consumer-initiated arbitration claim 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) was settled for an amount of \$15,000 or more, or;</p> <p>(b) resulted in an arbitration award or civil judgment against any named respondent(s)/defendant(s), regardless of amount?</p> | <p><input type="radio"/></p> <p><input type="radio"/></p> | <p><input type="radio"/></p> <p><input type="radio"/></p> |
| <p>(5) Within the past twenty four (24) months, have you been the subject of an <i>investment-related</i>, consumer-initiated arbitration claim or civil litigation not otherwise reported under question 14I(4) above, which:</p> <p>(a) 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 (if no damage amount is alleged, the arbitration claim or civil litigation must be reported unless the <i>firm</i> has made a good faith determination that the damages from the alleged conduct would be less than \$5,000), or;</p> <p>(b) alleged that you were <i>involved</i> in forgery, theft, misappropriation or conversion of funds or securities?</p> | <p><input type="radio"/></p> <p><input type="radio"/></p> | <p><input type="radio"/></p> <p><input type="radio"/></p> |
| Termination Disclosure | | |
| <p>14J. 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><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></p> | <p><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></p> |
| Financial Disclosure | | |
| <p>14K. Within the past 10 years:</p> <p>(1) have you made a compromise with creditors, filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition?</p> <p>(2) based upon events that occurred while you exercised <i>control</i> 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>(3) based upon events that occurred while you exercised <i>control</i> 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><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></p> | <p><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></p> |
| <p>14L. Has a bonding company ever denied, paid out on, or revoked a bond for you?</p> | <p><input type="radio"/></p> | <p><input type="radio"/></p> |
| <p>14M. Do you have any unsatisfied judgments or liens against you?</p> | <p><input type="radio"/></p> | <p><input type="radio"/></p> |