BROKER-DEALER QUESTIONNAIRE AND AFFIDAVIT: PRIOR SALES

|  |
| --- |
| Firm CRD No.: |
| Date: | Full Name of Broker-Dealer: | SEC File No.:  **8-** | |

The undersigned certifies as follows: I have conducted a thorough review into the activities of the Broker-Dealer listed above and, to the best of my knowledge within the past 36 months, the firm has not effected non-exempt transactions in the state(s) indicated below.

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

If any transaction were made in reliance upon an exemption, I have attached a list of those transactions. As to those transactions, I have identified the exemption upon which the broker-dealer relied and an explanation.

For those transaction that occurred within the past 36 months which were effected without the benefit of an exemption.

I am providing the following information:

* The accountholder's name, address and telephone number.
* Name of the security.
* Date and amount of the trade, including the commission paid to the Broker-dealer and to the Agent.
* The Agent who effected the transaction.

I am aware that the state may verify this information with my clearing firm.

I further certify that the Broker-dealer listed above will refrain from transacting business as a Broker-Dealer in the jurisdictions shown until registration is completed.

I acknowledge that if my response to any of the above is false or if the Broker-Dealer transacts business during the period prior to registration, the Broker-Dealer and I are subject to sanctions pursuant to the laws of the particular jurisdiction involved.

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Name of Principal (please print)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature of Principal

Subscribed and sworn before me this \_\_\_\_\_\_\_\_\_\_\_ day of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, \_\_\_\_\_\_\_\_\_\_\_\_\_\_.

County of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, State of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.

My commission expires \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.

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(Rev 05-17) Notary Public