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.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| * 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