This Compliance questionnaire is a requirement under Continuing Education rules mandated by FINRA and related Self Regulatory Organizations (SROs).

Registered Representative Information

1. Please provide complete residential contact information:

First Name

Last Name

Address

Phone Number

Email

2. Please provide complete business contact information:

Address

Phone Number

Email

3. Circle all series registrations that apply:

3 - National Commodity Futures

4 - Registered Options Principal

5 - Interest Rate Options

6 - Investment Company and Variable Contracts (Mutual Funds/Variable Annuities)

7 - General Securities Representative (Stockbroker)

9 - NYSE General Securities Sales Supervisor - Options

10 - NYSE General Securities Sales Supervisor - General Module

11 - Assistant Representative - Order Processing

12 - NYSE Branch Manager

14 - NYSE Compliance Officer

15 - Foreign Currency Options

16 - NYSE Supervisory Analyst

17 - Limited Representative (FSA registration)

22 - Direct Participation (Limited partnerships)

23 - General Securities Principal (Upgrade from 9 and 10)

24 - General Securities Principal

26 - Investment Company (Mutual Funds) Principal

27 - Financial and Operations Principal

28 - Financial and Operations Principal Introducing Broker

30 - Futures - Branch Office Manager

31 - Futures - Managed Funds

32 - Futures - United Kingdom Representatives

34 - Retail Off-Exchange Forex

37 - Canadian Module of the General Securities (with options questions)

38 - Canadian Module of the General Securities

39 - Direct Participation Programs Principal

42 - Registered Options Representative

44 - NYSE Arca Options Market Maker

47 - Japanese Module of the General Securities

51 - Municipal Fund Securities Limited Principal

52 - Municipal Securities Representative

53 - Municipal Securities Principal

55 - Equity Trader - Limited Representative

56 - Proprietary Trader Qualification

62 - Corporate Securities - Limited Representative

63 - Uniform Securities Agent State Law

65 - Uniform Registered Investment Adviser Law (RIA)

66 - Uniform Investment Adviser - Combined State Laws (Combined 63 and 65)

72 - Government Securities - Limited Representative

79 - Investment Banking

82 - Private Securities Offerings - Limited Representative

86 - Research Analyst - Securities Analysis

87 - Research Analyst - Regulations

99 - Operations Professional

N/A

Other (please specify below)

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Annual Compliance Questionnaire

4. Check all of the professional designations that apply

CPA

CFP

CRPC

CRP

RP

CTFA

CIMA

CIMC

CPWA

CLU

ChFC

CFA

N/A

Other (please specify below)

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5. Check each of the products listed below that you sell or are licensed to sell.

Mutual Funds

Unit Investment Trusts

Variable Annuities

General Securities

Life Insurance Products

Options

N/A

Other (please specify below)

6. In what location(s) do you conduct business?

☐ All States

☐ AL: Alabama ☐ AK: Alaska

☐ AZ: Arizona ☐ AR: Arkansas

☐ CA: California ☐ CO: Colorado

☐ CT: Connecticut ☐ DE: Delaware

☐ FL: Florida ☐ GA: Georgia

☐ HI: Hawaii ☐ ID: Idaho

☐ IL: Illinois ☐ IN: Indiana

☐ IA: Iowa ☐ KS: Kansas

☐ KY: Kentucky ☐ LA: Louisiana

☐ ME: Maine ☐ MD: Maryland

☐ MA: Massachusetts ☐ MI: Michigan

☐ MN: Minnesota ☐ MS: Mississippi

☐ MO: Missouri ☐ MT: Montana

☐ NE: Nebraska ☐ NV: Nevada

☐ NH: New Hampshire ☐ NJ: New Jersey

☐ NM: New Mexico ☐ NY: New York

☐ NC: North Carolina ☐ ND: North Dakota

☐ OH: Ohio ☐ OK: Oklahoma

☐ OR: Oregon ☐ PA: Pennsylvania

☐ RI: Rhode Island ☐ SC: South Carolina

☐ SC: South Dakota ☐ TN: Tennessee

☐ TX: Texas ☐ UT: Utah

☐ VT: Vermont ☐ VA: Virginia

☐ WA: Washington ☐ WV: West Virginia

☐ WI: Wisconsin ☐ WY: Wyoming

☐ DC: District of Columbia ☐

Other (please specify below)

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7. Are you in a supervisory role? (If yes, please explain your area of responsibility and the type of people you supervise.)

No/Yes (Circle)

If yes - please provide details

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Registered Representative Information

9. Within the past 12 months have you changed your residential and/or business address? (If yes, please list your new residential and/or business address including city, state, zip code, home telephone number and street address.)

No/Yes (Circle)

If yes - please provide details [Flagged Response]

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10. Do you or an associate of you maintain a securities account held away from your broker dealer?

No/Yes (Circle)

If yes - please provide details [Flagged Response]

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11. Within the past 12 months have you opened any outside securities accounts that have not been previously disclosed or

reported to compliance? (If yes, please list all outside investment accounts under your control – include those that allow trading of individual securities as well as mutual funds, unit trusts, private placements, etc.)

No [Skip to Q13]

If yes - please provide details [Flagged Response]

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12. Are duplicate statements of all trading accounts forwarded to the attention of the Compliance Department?

No/Yes (Circle)

[Flagged Response] If no explain:

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Registration with Affiliated Firms:

13. Within the past 12 months have you applied for, or are you under "dual registration" status?

No/Yes (Circle)

Are you are currently registered with or are seeking registration with a firm that is not affiliated with your current employing firm?

No/Yes (Circle)

If yes - please provide details [Flagged Response]

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Other Business:

14. Within the past 12 months have you engaged in any other business either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise excluding 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, address of the other business, the nature of the other business, your position, title, or hours/month you devote to the other business.)

No/Yes (Circle)

If yes - please provide details [Flagged Response]

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Criminal Disclosure:

15. Have you been convicted of or plead guilty or "no contest" in a domestic, foreign, or military court to any felony?

No/Yes

If yes - please provide details [Flagged Response]

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16. Have you been convicted of or plead guilty or "no contest" in a domestic, foreign, or military court to a misdemeanor involving investments or 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?

No/Yes (Circle)

If yes - please provide details [Flagged Response]

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Regulatory Action Disclosure:

17. Has the U.S. Securities and Exchange Commission or FINRA found you to have made a false statement or omission?

No/Yes (Circle)

If yes - please provide details [Flagged Response]

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18. Has the U.S. Securities and Exchange FINRA found you to have been involved in a violation of its regulations or status?

No/Yes (Circle)

If yes - please provide details [Flagged Response]

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19. Has the U. S. Securities and Exchange Commission or FINRA found you to have been a cause of an investment related business having its authorization to do business denied, suspended, revoked or restricted?

No/Yes (Circle)

If yes to any - please provide more detail [Flagged Response]

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20. Has any other Federal regulatory agency or any state regulatory agency or foreign financial regulatory authority found you to have made a false statement or omission or been dishonest, unfair or unethical?

No/Yes (Circle)

If yes - please provide details [Flagged Response]

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21. Has any other Federal regulatory agency or any state regulatory agency or foreign financial regulatory authority found you to have been involved in a violation of investment related regulation(s) or statute(s)?

No/Yes (Circle)

If yes - please provide details [Flagged Response]

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22. Has any other Federal regulatory agency or any state regulatory agency or foreign financial regulatory authority entered an order against you in connection with an investment related activity?

No/Yes (Circle)

If yes - please provide details [Flagged Response]

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23. Has any other Federal regulatory agency or any state regulatory agency or foreign financial regulatory authority denied, suspended, revoked your registration or license?

No/Yes (Circle)

If yes - please provide details [Flagged Response]

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24. Have you been the subject of any final order of a state securities commission (or any agency or office performing like functions), state authority that supervise 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 bars you from association with an entity regulated by such commission, authority, agency, or office, or from engaging in the business of securities, insurance, banking, savings association activities, or credit union activities?

No/Yes (Circle)

If yes - please provide details [Flagged Response]

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25. Has any self-regulatory organization ever found you to have made a false statement or omission?

No/Yes (Circle)

If yes - please provide details [Flagged Response]

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26. Has any self-regulatory organization ever 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)?

No/Yes (Circle)

If yes - please provide details [Flagged Response]

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27. Has any self-regulatory organization ever found you to have been the cause of an investment related business having its authorization to do business denied, suspended, revoked or restricted?

No/Yes (Circle)

If yes - please provide details [Flagged Response]

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28. Has any self-regulatory organization ever disciplined you by expelling or suspending you from membership, barring or suspending your association with its members, or restricting your activities?

No/Yes (Circle)

If yes - please provide details [Flagged Response]

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29. Within the past 12 months were any charge(s) brought against an organization over which you exercise control?

No/Yes (Circle)

If yes - please provide details [Flagged Response]

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General Disclosure Questions:

30. Within the past 12 months have you ever had an authorization to act as an attorney, accountant or federal contractor that was revoked or suspended?

No/Yes (Circle)

If yes - please provide details [Flagged Response]

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Consumer Complaints:

31. Within the past 12 months have you been notified, in writing, that you are now the subject of any regulatory complaint or proceeding or investigation?

No/Yes (Circle)

If yes - please provide details [Flagged Response]

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32. Within the past 12 months have you 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 that is still pending?

No/Yes (Circle)

If yes - please provide details [Flagged Response]

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33.Within the past 12 months have you 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 that resulted in an arbitration award or civil judgment against you, regardless of the amount?

No/Yes (Circle)

If yes - please provide details [Flagged Response]

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Civil Judicial Disclosure:

34. Has any domestic or foreign court enjoined you in connection with any investment related activity, involved in a violation of any investment related statute or settlement agreement?

No/Yes (Circle)

If yes - please provide details [Flagged Response]

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Financial Disclosure:

35. Within the past 12 months have you made a compromise with creditors, The Internal Revenue Service or filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition?

No/Yes (Circle)

If yes - please provide details [Flagged Response]

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

No/Yes (Circle)

If yes - please provide details [Flagged Response]

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37. Do you have any unsatisfied judgments or liens against you?

No/Yes (Circle)

If yes - please provide details [Flagged Response]

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Heightened Supervision Disclosure:

38. Within the past 12 months have you been subject to heightened supervision?

No/Yes (Circle)

If yes - please provide details [Flagged Response]

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Testament to Accuracy and Full Disclosure:

39. I certify that to the best of my knowledge the statements and facts presented to be accurate and true.

First Name:

Last Name:

Date: