Investment Adviser Representative Examination Affidavit

1. Name: _____

2. Address: _____

_____

_____

3. Have you obtained a passing score on the Uniform Investment Adviser Law Examination (Series 65 examination)? ☐ Yes ☐ No

4. Have you obtained a passing score on the General Securities Representative Examination (Series 7 examination) and the Uniform Combined State Law Examination (Series 66 examination)?
☐ Yes ☐ No

5. Were you registered as an investment adviser representative in any jurisdiction in the United States on July 1, 2000 and for two (2) consecutive years prior to that date?
☐ Yes ☐ No

6. Have you ever been found to have violated any state or federal securities law?
☐ Yes ☐ No

If the answer to this question is "yes", provide a detailed description of the findings on a separate sheet.

7. If you hold one or more of the following professional designations, check each that applies:

- ☐ Certified Financial Planner (CFP) awarded by the International Board of Standards and Practices for Certified Financial Planners, Inc.
- ☐ Chartered Financial Consultant (ChFC) awarded by the American College, Bryn Mawr, Pennsylvania.
- ☐ Personal Financial Specialist (PFS) awarded by the American Institute of Certified Public Accountants
- ☐ Chartered Financial Analyst (CFA) awarded by the Institute of Chartered Financial Analysts.
- ☐ Chartered Investment Counselor (CIC) awarded by the Investment Counsel Association of America, Inc.

I, _____, hereby depose and say that the information provided herein is true and accurate.

_____
Signature

SWORN TO AND SUBSCRIBED before me this _____ day of _____, 20___

_____
Notary

My commission expires on: _____