

INDIVIDUAL NAME:	SSN: _ _ - _ - _ _ _
INDIVIDUAL CRD #:	FIRM CRD #:

5B. JURISDICTION PARTIAL TERMINATIONS

Check appropriate *jurisdiction(s)* for AG (Broker-Dealer Agent) and/or RA (Investment Adviser Representative) termination.

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

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

6. AFFILIATED FIRM TERMINATION

Is this a *multiple termination* with one or more *firms affiliated* with the *filing firm*? **Yes** **No**

If "yes" to the above question and the termination requests for the *filing firm* are identical to the termination requests of each *affiliated firm*, then mark the same termination request for each affiliate. If the termination requests of the *affiliated firm(s)* differ from those of the *filing firm*, complete the *SRO* and/or *jurisdiction* sections for each *affiliated firm*.

AFFILIATED FIRM CRD #:	AFFILIATED FIRM NAME:	AFFILIATED FIRM CRD BRANCH #:	AFFILIATED FIRM BILLING CODE:
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.

7. DISCLOSURE QUESTIONS

IF THE ANSWER TO ANY OF THE FOLLOWING QUESTIONS IN SECTION 7 IS "YES", COMPLETE DETAILS OF ALL EVENTS OR PROCEEDINGS ON APPROPRIATE DRP(S). IF THE INFORMATION IN SECTION 7 HAS ALREADY BEEN REPORTED ON FORM U-4 OR FORM U-5, DO NOT RESUBMIT DRPs FOR THESE ITEMS. REFER TO THE EXPLANATION OF TERMS SECTION OF FORM U-5 INSTRUCTIONS FOR EXPLANATIONS OF ITALICIZED WORDS.

	YES	NO
<p>Investigation Disclosure</p> <p>7A. Currently is, or at termination was, the individual the subject of an <i>investigation</i> or <i>proceeding</i> by a domestic or foreign governmental body or <i>self-regulatory organization</i> with jurisdiction over <i>investment-related</i> businesses?</p>		
<p>Internal Review Disclosure</p> <p>7B. Currently is, or at termination was, the individual under internal review for fraud or wrongful taking of property, or violating <i>investment-related</i> statutes, regulations, rules or industry standards of conduct?</p>		
<p>Criminal Disclosure</p> <p>7C. While employed by or associated with your <i>firm</i>, or in connection with events that occurred while the individual was employed by or associated with your <i>firm</i>, was the individual:</p> <ol style="list-style-type: none"> convicted of or did the individual plead guilty or nolo contendere ("no contest") in a domestic, foreign or military court to any <i>felony</i>? <i>charged</i> with any <i>felony</i>? convicted of or did the individual plead 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? <i>charged</i> with a <i>misdemeanor</i> specified in item 7(C)(3)? 		
<p>Regulatory Action Disclosure</p> <p>7D. While employed by or associated with your <i>firm</i>, or in connection with events that occurred while the individual was employed by or associated with your <i>firm</i>, was the individual <i>involved</i> in any <i>disciplinary action</i> by a domestic or foreign governmental body or <i>self regulatory organization</i> (other than those designated as a "<i>minor rule violation</i>" under a plan approved by the U.S. Securities and Exchange Commission) with jurisdiction over the <i>investment-related</i> businesses?</p>		

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DISCLOSURE REPORTING PAGES

CRIMINAL DRP

This Disclosure Reporting Page is an **INITIAL** or **AMENDED** response to report details for affirmative responses to **Questions 7(C)(1), 7(C)(2), 7(C)(3) and 7(C)(4)** on Form U-5;

Check question(s) being responded to: 7(C)(1) 7(C)(2) 7(C)(3) 7(C)(4)

Use this DRP to report all charges arising out of the same event. One event may result in more than one affirmative answer to the above items. Multiple counts of the same charge arising out of the same event should be reported on the same DRP. Unrelated criminal actions, including separate cases arising out the same event, must be reported on separate DRPs. **Applicable court documents (i.e., criminal complaint, information or indictment as well as judgment of conviction or sentencing documents) must be provided to the CRD if not previously submitted.**

1. Formal Charge(s) were brought in: (include name of Federal, Military, State or Foreign Court, Location of Court - City or County and State or Country, Docket/Case number).

2. **Event Disclosure Detail** (Use this for both organizational and individual charges.)

A. Date First Charged (MM/DD/YYYY): _____ **Exact** **Explanation**
 If not exact, provide explanation:

B. Event Disclosure Detail (include Charge(s)/Charge Description(s), and for each charge provide: 1. number of counts, 2. *felony* or *misdemeanor*, 3. plea for each charge, and 4. product type if charge is *investment-related*):

C. Did any of the Charge(s) within the Event involve a *Felony*? **Yes** **No**

D. Current status of the Event? **Pending** **On Appeal** **Final**

E. Event Status Date (complete unless status is Pending) (MM/DD/YYYY): _____ **Exact** **Explanation**
 If not exact, provide explanation:

3. **Disposition Disclosure Detail**

Include for each charge, A. Disposition Type [e.g., convicted, acquitted, dismissed, pretrial, etc.], B. Date, C. Sentence/Penalty, D. Duration [if sentence - suspension, probation, etc.], E. Start Date of Penalty, F. Penalty/Fine Amount and G. Date Paid.

4. Provide a brief summary of circumstances leading to the charge(s) as well as the disposition. Include the relevant dates when the conduct which was the subject of the charge(s) occurred. (The information must fit within the space provided.)

INDIVIDUAL NAME:	SSN: - - - - -
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CUSTOMER COMPLAINT DRP

This Disclosure Reporting Page is an **INITIAL** or **AMENDED** response to report details for affirmative responses to **Questions 7(E)(1), 7(E)(2) and 7(E)(3)** on Form U-5;

Check question(s) being responded to: 7(E)(1)(a) 7(E)(1)(b) 7(E)(1)(c) 7(E)(2) 7(E)(3)(a) 7(E)(3)(b)

One event may result in more than one affirmative answer to the above items. Use only one DRP to report details related to one customer complaint. Use a separate DRP for each customer complaint.

1. Customer Name(s): _____

2. Customer(s) State of Residence: _____
 Other state(s) of residence/detail: _____

3. Employing *Firm* when activities occurred which led to the complaint: _____

4. Date Complaint was received (MM/DD/YYYY): _____ **Exact** **Explanation**
 If not exact, provide explanation: _____

5. Allegation(s) and a brief summary of events related to the allegation(s) including dates when activities leading to the allegation(s) occurred: _____

6. Principal Product Type: _____
 Other Product Types: _____

7. Alleged Compensatory Damage Amount: _____

8. Is complaint pending? **Yes** **No**

9. If the complaint is not pending, provide status:
 If status is settlement, complete questions 11 and 12;
 If status is arbitration/reparation, complete questions 13-19;
 If status is litigation, complete questions 20-27. Complete question 28 for all statuses.

No Action	Withdrawn	Denied
Settled	Arbitration/Reparation	Litigation

10. Status Date (MM/DD/YYYY): _____ **Exact** **Explanation**
 If not exact, provide explanation: _____

