

Outside Business Activity Disclosure Form

Pursuant to FINRA Rule 3270, all registered representatives are required to disclose and receive written approval for their outside employment upon initial employment, prior to engaging in any new employment and upon request of the firm's Compliance Department.

The following outside business activities are not required to be disclosed:

1. Business activity with a recognized charitable, civic, religious or fraternal tax-exempt entity [501(c)(3)], for which compensation is not received.
2. Business activity which represents a passive investment or income (e.g. rental income)

I (NAME) _____ HAVE INTEND TO HAVE NOT

engage(d) in employment outside of the Firm.

(If you have not engaged in outside business activities, please leave the rest of this form blank and sign below)

If the registered Representative intends to or is already engaged in Outside Business Activity, please complete the following. Add additional pages if necessary:

Name of Employer: _____ Date of Initial Employment: ____/____/____

Job Title: _____ Job Location (City & State) _____

of Hrs. P/Month: _____ Method of Compensation (Salary Commissions, etc.): _____

Is this job securities related? Yes No

(IF YES, COMPLETE THE PRIVATE SECURITIES DISCLOSURE FORM)

Description of Job Responsibilities: _____

My signature below certifies that all of the information above it true and correct. Furthermore, I attest that I have read, understand and agree to comply with FINRA Rule 3270 and the outside business activities Written Supervisory Procedures of The Firm.

Signature of Registered Rep: _____ Date ____/____/____

Compliance Department Use Only

Approved _____ Name of Approving Principal: _____ Date ____/____/____

Has this outside employment been disclosed on the employee's Form U4? Yes No

Has the Firm conducted a formal 3270 Analysis regarding this outside employment? Yes No

Denied _____ Name of Principal Denying Employment: _____ Date ____/____/____

Reason for Denial: _____

Signature of Principal _____ Date ____/____/____