

## Private Securities Transaction Disclosure Form

"Private Securities Transaction" shall mean any securities transaction that is executed outside the regular course or scope of an associated person's employment with a the Firm. This includes any referral fees, commissions or any other payment of cash or anything of value or gift that is tied to the completion of or based on the size of an executed securities transaction not executed by the Firm.

I (NAME) \_\_\_\_\_  HAVE  INTEND TO  HAVE NOT   
engage(d) in Private Securities Transactions away from the Firm.

(If you have not engaged or do not intend to engage in Private Securities Transactions, please leave the rest of this form blank and sign below)

Name of Outside Employer: \_\_\_\_\_ Date of Initial Employment: \_\_\_\_/\_\_\_\_/\_\_\_\_

Job Title: \_\_\_\_\_ Job Location (City & State) \_\_\_\_\_

Method of Compensation (Referral Fee, Commissions, etc.): \_\_\_\_\_

Estimated Annual Income: \_\_\_\_\_

Description of Private Securities Transactions: \_\_\_\_\_

*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 the private securities transaction Written Supervisory Procedures of The Firm.*

Signature of Registered Rep: \_\_\_\_\_ Date \_\_\_\_/\_\_\_\_/\_\_\_\_

### Compliance Department Use Only

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

Have duplicate copies of all outside securities transaction documentation been requested?  Yes  No

Has the firm instructed the outside employer to route all compensation to the employing BD?  Yes  No

Is the registered rep properly registered to conduct the private securities transactions?  Yes  No

Approved \_\_\_\_\_ Name of Approving Principal: \_\_\_\_\_ Date \_\_\_\_/\_\_\_\_/\_\_\_\_

Denied \_\_\_\_\_ Name of Principal Denying Employment: \_\_\_\_\_ Date \_\_\_\_/\_\_\_\_/\_\_\_\_

Reason for Denial: \_\_\_\_\_

Signature of Principal \_\_\_\_\_ Date \_\_\_\_/\_\_\_\_/\_\_\_\_