

Firm Name
Year

3130 CEO Annual Compliance and Supervision Certification

The undersigned is the Chief Executive Officer (or equivalent officer) of [name of Firm] (the "Member"). As required by FINRA [Rule 3130](#), the undersigned makes the following certification:

- 1) The Member has in place processes to:
 - a) establish, maintain and review policies and procedures reasonably designed to achieve compliance with applicable FINRA rules and federal securities laws and regulations;
 - b) modify such policies and procedures as business, regulatory and legislative changes and events dictate; and
 - c) test the effectiveness of such policies and procedures on a periodic basis, the timing and extent of which is reasonably designed to ensure continuing compliance with FINRA rules and federal securities laws and regulations.

- 2) The undersigned chief executive officer (or equivalent officer) has conducted one or more meetings with the chief compliance officer in the preceding 12 months, the subject of which satisfy the obligations set forth in 3130.

- 3) The Member's processes, with respect to paragraph 1 above, are evidenced in a report reviewed by the chief executive officer (or equivalent officer), chief compliance officer, and such other officers as the Member may deem necessary to make this certification, and submitted to the Member's board of directors and audit committee.

- 4) The undersigned chief executive officer (or equivalent officer) has consulted with the chief compliance officer and other officers as applicable (referenced in paragraph 2 above) and such other employees, outside consultants, lawyers and accountants, to the extent deemed appropriate, in order to attest to the statements made in this certification.

Print Name of Attesting Senior Executive

Print Name of Attesting Senior Executive

Date