



**Individual Disclosure Questions  
As Revised**

## Individual Disclosure Questions

### Civil Judicial Disclosure

1. Has any court ever:
  - a. found that you made a false statement or omission, or you were dishonest, unfair or unethical?
  - b. found that you were involved in a violation of any financial services statute or regulation?
  - c. enjoined you in connection with any financial services activity?
  - d. dismissed, pursuant to a settlement agreement, a financial services civil action brought against you by a federal, state, local or foreign financial regulatory authority or any consumer protection authority?
2. Are there any pending financial services civil actions against you that allege you:
  - a. made a false statement or omission?
  - b. violated a financial services statute or regulation?
3. Are there any pending financial services civil actions against you whereby the remedy being sought is an injunction?

### Criminal Disclosure

4. Have you ever been convicted of or pled guilty or nolo contendere ("no contest") in any court to any felony?
5. Are there any pending charges against you for any felony?
6. In the past 10 years, have you been convicted of or pled guilty or nolo contendere ("no contest") in any court to committing or conspiring to commit a misdemeanor involving: (i) a financial services business, (ii) fraud, (iii) false statements or omissions, (iv) theft or wrongful taking of property, (v) bribery, (vi) perjury, (vii) forgery, (viii) counterfeiting, or (ix) extortion?
7. Are there any pending charges against you for any misdemeanor specified in question 6?

### **Customer Arbitration/Civil Litigation Disclosure**

8. Have you ever been named as a respondent or defendant in a financial services consumer-initiated arbitration or civil litigation which:
  - a. is still pending?
  - b. resulted in an arbitration award or civil judgment against you, regardless of amount, or that required corrective action?
  - c. was settled for any amount?

### **Financial Disclosure**

9. In the past 10 years have you filed or been the subject of a personal bankruptcy petition, whether voluntary or involuntary?
10. In the past 10 years, have you been the subject of any non-judicial or judicial efforts to foreclose on real property, either commercial or residential?
11. Has a bonding company ever denied issuance of, paid out on, or revoked a bond for you?
12. Do you have any unsatisfied judgments against you?
13. Do you have any unsatisfied liens against you?
14. Are you delinquent on any court ordered child support payments?

### **Regulatory Action Disclosure – Part I**

15. Have you ever had a financial services license, or any other professional license revoked, suspended or restricted?
16. Has any federal, state or local regulatory agency, governmental entity, foreign financial regulatory authority, self-regulatory organization (SRO) or any consumer protection authority ever:
  - a. found you to have made a false statement or omission or been dishonest, unfair or unethical?
  - b. found you to have been involved in a violation of a financial services statute or regulation?
  - c. found you to have been a cause of a financial services business having its license or authorization to conduct a business activity denied, suspended, revoked or restricted?
  - d. entered an order against you in connection with a financial services activity?
  - e. restricted or revoked your registration or license?
  - f. denied or suspended your registration or license or application for licensure, disciplined you, prevented you from associating with a financial services business or otherwise restricted your activities?
  - g. barred you from association with an entity regulated by such commissions, authority, agency, or office or from engaging in a financial services business?

- h. issued a final order against you based on violations of any law or regulation that prohibits fraudulent, manipulative, or deceptive conduct?
  - i. taken a regulatory action, whether administrative or civil, including entering an order or dismissing an action pursuant to a settlement agreement against you in connection with any license or registration?
17. Is there a pending regulatory action proceeding, either administrative or civil, against you that alleges you:
- a. made a false statement or omission or were dishonest, unfair or unethical?
  - b. violated a financial services statute or regulation?
  - c. were a cause of a financial services business having its authorization to do business denied, suspended, revoked or restricted?
  - d. violated a law or regulation that prohibits fraudulent, manipulative, or deceptive conduct?
18. Is there a pending regulatory action proceeding, either administrative or civil, against you whereby the remedy being sought is:
- a. restriction or revocation of a license or registration?
  - b. denial or suspension of a registration or license or application for licensure?
  - c. an injunction from association with a financial services business?
  - d. restriction of your ability to conduct financial services activities?
  - e. to bar you from association with an entity regulated by such commissions, authority, agency, or office, or from engaging in a financial services business?
19. Are there any pending regulatory action proceedings against you whereby the remedy being sought is the revocation, suspension or restriction of your financial services license or any other professional license?

### **Regulatory Action Disclosure – Part II**

**If you answer yes to question a or b, you must complete Questions 20 and 21. If you answer no to questions a and b, questions 20 and 21 will be marked as N/A (Not Applicable).**

- a. Are you or have you ever been licensed to act as an attorney or an accountant?**
  - b. Do you currently hold, or have you ever held an authorization to act as a contractor on behalf of a federal, state or local government entity ?**
20. Have you ever had an ability to or authorization to act as an attorney, accountant, or a contractor on behalf of a federal, state or local government entity restricted, revoked, debarred or suspended?
21. Are there any pending regulatory action proceedings against you whereby the remedy being sought is the restriction, revocation, debarment or suspension of your authorization to act as an attorney, accountant or a contractor on behalf of a federal, state or local government entity?

### **Termination Disclosure**

22. Have you ever voluntarily resigned, been discharged, or permitted to resign after allegations were made that accused you of:
- a. violating a statute, regulation, rule, or industry standard of conduct?
  - b. fraud, dishonesty, theft, or the wrongful taking of property?

### **Individual Disclosures Pertaining to Control Activities**

**Do you currently exercise control, or have you ever exercised control over an organization? If you answer Yes, complete questions 23- 30 . If you answer No, questions 23-30 will be marked as N/A (Not Applicable).**

### **Civil Judicial Disclosure**

23. Based on activities that occurred while you exercised control over an organization:
- a. was such organization found to have violated a financial services statute or regulation as a result of a civil action?
  - b. is there a pending financial services civil action against such organization which alleges a violation of a financial services statute or regulation?
  - c. is there a pending financial services civil action against such organization seeking to enjoin the organization from association with a financial services business?
  - d. was such organization ever enjoined from associating with a financial services business?
24. Based on activities that occurred while you exercised control over an organization:
- a. in connection with a financial services civil action, has such organization ever been enjoined?
  - b. is there a pending financial services civil action in which such organization is named for which the remedy being sought is an injunction in connection with a financial services activity?

### **Criminal Disclosure**

25. Based on activities that occurred while you exercised control over an organization:
- a. has such organization ever been convicted of or pled guilty or nolo contendere ("no contest") in any court to any felony?
  - b. are there any pending charges against such organization for any felony?
  - c. has such organization ever been convicted of or pled guilty or nolo contendere ("no contest") in any court to any misdemeanor specified in question 6 in the past 10 years?
  - d. are there any pending charges against such organization for any misdemeanor specified in question 6?

### Financial Disclosure

26. Based on events that occurred while you exercised control over an organization:
- a. has such organization filed or been the subject of a bankruptcy petition, whether voluntary or involuntary, within the past 10 years?
  - b. has any bonding company ever denied issuance of, paid out on, or revoked a bond for such organization?

### Regulatory Action Disclosure

27. Based on activities that occurred while you exercised control over an organization, has any federal, state or local regulatory agency or foreign financial regulatory authority, self-regulatory organization (SRO) or any consumer protection agency ever:
- a. found such organization to have made a false statement or omission or been dishonest, unfair or unethical?
  - b. found such organization to have been involved in a violation of a financial services statute or regulation?
  - c. found such organization to have been a cause of another financial services business having its license or other authorization to conduct a business activity denied, suspended, revoked or restricted?
28. Based on activities that occurred while you exercised control over an organization:
- a. has any federal, state or local regulatory agency, foreign financial regulatory authority, self-regulatory organization (SRO) or any consumer protection agency taken any of the below actions against such organization:
    - i. restriction or revocation of a registration or license?
    - ii. denial or suspension of a registration or license or application for licensure?
    - iii. entered an injunction from association with a financial services business?
    - iv. restricted the organization's financial services activities?
    - v. barred the organization from association with an entity regulated by such commissions, authority, agency, or office, or from engaging in a financial services business?
    - vi. taken a regulatory action, whether administrative or civil including entering an order or dismissing an action pursuant to a settlement agreement against the entity or a control affiliate in connection with a financial services activity?
  - b. are there any pending regulatory action proceedings against the organization that allege the organization:
    - i. made a false statement or omission or had been dishonest, unfair or unethical?
    - ii. was involved in a violation of a financial services statute or regulation?
  - c. are there any pending regulatory action proceedings against the organization that allege the organization caused another financial services business to have its license or other authorization to conduct a business activity denied, suspended, revoked or restricted?

29. Based on activities that occurred while you exercised control over an organization, has any federal, state or local regulatory agency, foreign financial regulatory authority, self-regulatory organization (SRO) or any consumer protection authority restricted, revoked or suspended the organization's financial services license or any other professional license or the organization's ability to act as a contractor on behalf of a federal, state or local government entity?
30. Based on activities that occurred while you exercised control over an organization, are there any pending regulatory action proceedings against any organization whereby the remedy being sought is described in question 29?