

Answer the following questions by marking the appropriate response for each. Any matter described in the questions below must be disclosed.

- A. In the last two years, have you been the suspect in a written complaint regarding your professional conduct in either a direct or supervisory capacity? Yes \_\_\_\_\_ No \_\_\_\_\_
- B. In the last two years, have you been the subject of, defendant in, or respondent to any investigation, civil litigation, arbitration, or other action or proceeding in which your professional conduct, in either a direct or supervisory capacity, was at issue? Yes \_\_\_\_\_ No \_\_\_\_\_
- C. In the last two years, have you been temporarily or permanently suspended, barred, banned or otherwise prevented from (i) working or participating in the securities industry; (ii) trading on any securities or contract market; (iii) acting as a broker, dealer, investment advisor, or other person required to register under any law or regulation; or (iv) acting as an employee; registered representative; or affiliated person of any entity required to register or be licensed under any law or regulation (i.e, investment company, bank, etc.)? Yes \_\_\_\_\_ No \_\_\_\_\_
- D. In the last two years, have you been found to have aided, abetted, counseled, commanded, induced or procured the violation of any securities or commodities related law, regulation, or rule? Yes \_\_\_\_\_ No \_\_\_\_\_
- E. In the last two years, have you been convicted of or pled guilty to: (i) any crime defined as a felony punishable by more than one year in prison (regardless of the sentence actually imposed), or (ii) any crime involving moral turpitude (fraud, lying, cheating, stealing or other dishonest conduct) or any substantially equivalent crime in any court of law?  
Yes \_\_\_\_\_ No \_\_\_\_\_

The above responses and all information provided by me on this Professional Conduct Statement are truthful, accurate and complete, and I agree to notify ASFIP promptly of any material changes in my responses to the foregoing questions. I acknowledge and understand that failure to comply with the ASFIP Code of Ethics and other rules and regulations of ASFIP will result in cancellation of agreement.

### Associate Agreement

I have read, understand and agree to comply with the ASFIP Code of Ethics, Bylaws, and other rules and regulations established by the Atlanta Society of Finance and Investment Professionals as amended from time to time.

By signing this document, I hereby acknowledge that I have read and understand the document in its entirety and agree with all of the above.

Signature \_\_\_\_\_ Printed Name \_\_\_\_\_ Date \_\_\_\_\_



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