

Additional Information Required by Section 130.840 of the Administrative Rules for Registration as an Investment Adviser



**Illinois Secretary of State
Securities Department**
421 E. Capitol Ave., 2nd Floor
Springfield, IL 62701
217-782-2256

1. Designated Principal(s) to be Responsible for the Rendering of Investment Advice in Illinois:

- A. Applicant understands that each investment adviser registered in the State of Illinois must have at least one examination-qualified principal who is responsible for the rendering of investment advice and the supervision of each investment adviser representative servicing Illinois customer accounts. Each designated principal must have passed the qualifying examinations or educational program designation as set forth in Section 130.842 of the Rules.
- B. Name, Social Security Number or CRD Number(s) and qualifying examination(s) and/or education program for each designated principal who will be responsible for the rendering of investment advice and the supervision of investment adviser representatives in the State of Illinois:

Name of Designated Principal	CRD Number	Qualifying Exams/Designations
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- C. Applicant undertakes to amend this list and file the amendment with the Illinois Securities Department no later than 10 business days after any change of any designated principal.

2. Affidavit of Prior Investment Adviser Activities in Illinois — Applicant hereby applies for registration as an investment adviser to engage in rendering investment advice in the State of Illinois. Applicant hereby certifies that (check A or B):

- A.
 - 1. Neither applicant nor any of his/her representatives has rendered any investment advice for a fee or entered into any agreement to render investment advice for a fee to any Illinois residents; and
 - 2. Neither applicant nor any of his/her representatives will engage in the business of rendering investment advice for a fee to Illinois residents until said firm is registered to do so with the Illinois Securities Department.
- B. Applicant has rendered investment advice for a fee to Illinois residents. All information relating to said advice is attached, including the exemption or exclusion under which Illinois residents' accounts have been or are being serviced, if applicable.

Applicant acknowledges the foregoing to be truthful with full knowledge that misrepresentation of such facts to the Illinois Securities Department may result in enforcement action.

3. Investment Adviser Representations Under the Illinois Securities Law of 1953 — Applicant makes the following representations as a condition to registration as an investment adviser under the provisions of Section 8.D of the Illinois Securities Law of 1953 and its relevant Administrative Rules thereunder:

- A. Applicant will not charge or receive compensation in connection with the rendering of investment advice unless such compensation is fair and reasonable, is determined on an equitable basis and adequately disclosed in writing to each Illinois advisory client. Negotiable fees will not be based upon capital gains or performance unless in conformance with the provisions of Rule 205-3 under the Investment Advisers Act of 1940; and
- B. Applicant, when selecting the services of a dealer to effectuate securities transactions for Illinois advisory clients, will utilize dealers registered in the State of Illinois unless such transactions are otherwise exempt pursuant to Section 4 of the Act; and
- C. Applicant will ensure that each designated principal and each investment adviser representative who offers for sale or sells securities in the State of Illinois will be registered as a salesperson under Section 8.C of the Act; and
- D. Applicant will provide each Illinois advisory client and prospective advisory client with a written disclosure statement (brochure) as required by Section 130.846 of the Rules under the Act and Rule 204-32 under the Investment Advisers Act of 1940. Adverse financial and disciplinary information will be disclosed in accordance with the provisions of Section 130.847 of the Rules under the Act.

Applicant acknowledges the foregoing to be truthful with full knowledge that misrepresentation of such facts to the Illinois Securities Department may result in enforcement action.

Name of Applicant: _____

Signature of Officer, Partner, Sole Proprietor: _____

Name and Title (type or print), Date: _____