

**Investment Adviser Representative Examination Affidavit**

1. Name: \_\_\_\_\_

2. Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

3. Have you obtained a passing score on the Uniform Investment Adviser Law Examination (Series 65 examination)?  Yes  No

4. Have you obtained a passing score on the General Securities Representative Examination (Series 7 examination) and the Uniform Combined State Law Examination (Series 66 examination)?  
 Yes  No

5. Were you registered as an investment adviser representative in any jurisdiction in the United States on July 1, 2000 and for two (2) consecutive years prior to that date?  
 Yes  No

6. Have you ever been found to have violated any state or federal securities law?  
 Yes  No

If the answer to this question is "yes", provide a detailed description of the findings on a separate sheet.

7. If you hold one or more of the following professional designations, check each that applies:

- Certified Financial Planner (CFP) awarded by the International Board of Standards and Practices for Certified Financial Planners, Inc.
- Chartered Financial Consultant (ChFC) awarded by the American College, Bryn Mawr, Pennsylvania.
- Personal Financial Specialist (PFS) awarded by the American Institute of Certified Public Accountants
- Chartered Financial Analyst (CFA) awarded by the Institute of Chartered Financial Analysts.
- Chartered Investment Counselor (CIC) awarded by the Investment Counsel Association of America, Inc.

I, \_\_\_\_\_, hereby depose and say that the information provided herein is true and accurate.

\_\_\_\_\_  
Signature

**SWORN TO AND SUBSCRIBED** before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_

\_\_\_\_\_  
Notary

My commission expires on: \_\_\_\_\_