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FIRST NAME:		MIDDLE NAME:	LAST NAME:		
SUFFIX:	<u> </u>	ALIAS:			
DOB (MM/DD/YYYY):		SSN:		CRD #:	
RESIDENTIAL STREET ADDRESS LI	INE 1:		RESIDENTIAL STREET ADDRESS LINE 2:		
CITY:	STATE:		COUNTRY:		ZIP/POSTAL CODE:
RESIDENTIAL STREET ADDRESS LINE 1:			RESIDENTIAL STREET ADDRESS LINE 2:		
CITY: STATE:		COUNTRY:		ZIP/POSTAL CODE:	
BUSINESS STREET ADDRESS LINE 1:			BUSINESS STREET ADDRESS LINE 2:		
CITY: STATE:		COUNTRY: ZIP/POSTAL CODE:		ZIP/POSTAL CODE:	
REGULATOR CONTACT:			REGULATOR PHONE NUMBER:		

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U6 - BANKRUPTCY/SIPC/COMPROMISE WITH CREDITORS DRP						
This Disclosure Reporting Page is an IIIITIAL OR AMENDED						
1. Action Type: [Circle one: Bankruptcy, Compromise, Declaration, Liquidated, Other, Receivership]						
 Action Date (MM/DD/YYYY) (Provide date bankruptcy was filed, or date SIPC was initiated, or date of compromise with creditor): Exact Explanation If not exact, provide explanation: 						
 If the financial action relates to an organization over which the subject exercise(d) control, enter Organization Name and subject's position, title or relationship: 						
Was the Organization investment-related? 🔲 Yes 🔄 No						
 Court (Name of Federal, State or Foreign Court), Location of Court (City or County <u>and</u> State or Country), Docket/Case Number and Bankruptcy Chapter Number (if Federal Bankruptcy Filing): 						
5. Is action currently pending? Yes No						
6. If not pending, provide disposition type: [Circle one: Direct Payment Procedure, Discharged, Dismissed, Dissolved, Other, SIPA Trustee Appointed, Satisfied/Released]						
7. Disposition Date (MM/DD/YYYY): Exact Explanation If not exact, provide explanation:						
8. Provide a brief summary of events leading to the action and if not discharged, explain. (The information must fit within the space provided.):						
 If a SIPA trustee was appointed or a direct payment procedure was begun, enter the amount paid or agreed to be paid by the subject; or the name of the trustee: 						
Currently Open? Yes No						
Date Direct Payment Initiated/Filed or Trustee Appointed (MM/DD/YYYY): Exact Explanation If not exact, provide explanation:						
10. Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the action as well as the current status or final disposition. Your information must fit within the space provided.						

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\square	U6 - CIVIL JUDICIAL DRP						
Thi	s Disclosure Reporting Page is an INITIAL OR AMENDED						
1.	 Court Action initiated by: (Name of regulator, <i>foreign financial regulatory authority</i>, SRO, commodities exchange, Agency, Firm, Private Plaintiff, etc.) 						
2.	Principal Relief Sought: [Circle one: Cease and Desist, Civil Penalty(ies)/Fine(s), Disgorgement, Injunction, Money Damages (Private/Civil Complaint), Other, Restitution, Restraining Order] Other Relief Sought:						
3.	Filing Date of Court Action (MM/DD/YYYY): Exact Explanation						
4.	 Principal Product Type: [Circle one: Annuity(ies) - Fixed, Annuity(ies) - Variable, Banking Products (Other than CD(s)), CD(s), Commodity Options(s), Debt - Asset Backed, Debt - Corporate, Debt - Government, Debt - Municipal, Derivative(s), Direct Investment(s) - DPP & LP Interest(s), Equity - OTC, Equity Listed (Common & Preferred Stock), Futures - Commodity, Futures - Financial, Index Options(s), Insurance, Investment Contract(s), Money Market Fund(s), Mutual Fund(s), No Product, Options, Other, Penny Stock(s), Unit Investment Trust(s)] Other Product Types: 						
5.	Formal Action was brought in (include name of Federal, Military, State or Foreign Court, Location of Court - City or County and State or Country, Docket/Case Number):						
6.	Employing Firm when activity occurred which led to the civil judicial action:						
7.	7. Describe the allegations related to this civil action. (The information must fit within the space provided.):						
8.	Current Status? Pending On Appeal Final						
9.	 If on appeal, action appealed to (provide name of court): Date Appeal Filed (MM/DD/YYYY):						

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U6 - CIVIL JUDICIAL DRP (CONTINUED)
10. If pending, date notice/process was served (MM/DD/YYYY): Exact Explanation If not exact, provide explanation:
If Final or On Appeal, complete all items below. For Pending Actions, complete Item 14 only.
11. How was matter resolved: [Circle one: Consent, Dismissed, Judgment Rendered, Opinion, Other, Settled, Withdrawn]
12. Resolution Date (MM/DD/YYYY): Exact Explanation
13. Resolution Detail: A. Were any of the following Sanctions Ordered or Relief Granted? (Check all appropriate items): Monetary/Fine Amount: \$ Revocation/Expulsion/Denial Disgorgement/Restitution Censure Cease and Desist/Injunction Bar Suspension B. Other Sanctions: C. Sanction detail: if suspended, enjoined or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against broker, date paid and if any portion of penalty was waived:
14. Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the action, as well as the current status or disposition and/or finding(s). Include the number of investors in the reporting jurisdiction, the total number of investors in the program, the amount invested in the reporting jurisdiction, and the total amount invested. Your information must fit within the space provided.
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U6 - CRIMINAL DRP						
This Disclosure Reporting Page is an INITIAL OR AMENDED						
 If charge(s) were brought against an organization over which the subject exercise(d) <i>control</i>: (Enter Organization Name, whether or not the organization was an <i>investment-related</i> business and the subject's position, title or relationship.) 						
 Formal Charge(s) were brought in: (include name of Federal, Military, State or Foreign Court, Location of Court - City or County and State or Country, Docket/Case number). 						
3. Event Disclosure Detail (Use this for both organizational and individual charges.)						
A. Date First Charged (MM/DD/YYYY): Exact Explanation						
B. Event Disclosure Detail (include Charge(s)/Charge Description(s), and for each charge provide: 1. number of counts, 2. felony or misdemeanor, 3. plea for each charge, and 4. product type if charge is investment-related):						
C. Did any of the Charge(s) within the Event involve a <i>Felony</i> ?						
D. Current status of the Event? Pending On Appeal Final						
 E. Event Status Date (complete unless status is Pending) (MM/DD/YYYY):						
4. Disposition Disclosure Detail Include for each charge, <u>A</u> . Disposition Type [e.g., convicted, acquitted, dismissed, pretrial, etc.], <u>B</u> . Date, <u>C</u> . Sentence/Penalty, <u>D</u> . Duration [if sentence-suspension, probation, etc.], <u>E</u> . Start Date of Penalty, <u>F</u> . Penalty/Fine Amount and <u>G</u> . Date Paid.						
5. Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the charge(s) as well as the current status or final disposition. Include the number of investors in the reporting jurisdiction, the total number of investors in the program, the amount invested in the reporting jurisdiction, the total amount invested and whether the action is based on a referral or investigation from your securities division. Your information must fit within the space provided.						

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\square	U6 - REGULATORY ACTION DRP					
Thi	s Disclosure Reporting Page is an IIINITIAL OR I AMENDED					
1.	Regulatory Action initiated by: SEC Other Federal State SRO Foreign Federal Banking Agency National Credit Union Administration Other Full name of regulator, foreign financial regulatory authority, Federal, State, SRO, commodities exchange or National Credit Union Administration)					
2.	Principal Sanction/Relief Sought: [Circle one: Bar, Cease and Desist, Censure, Civil and Administrative Penalty(ies)/Fine(s), Denial, Disgorgement, Expulsion, Injunction, Other, Prohibition, Reprimand, Restitution, Revocation, Suspension, Undertaking] Other Sanctions/Relief Sought:					
3.	Date Initiated (MM/DD/YYYY): Exact Explanation					
4.	Docket/Case Number:					
5.	Employing Firm when activity occurred which led to the regulatory action:					
6.	 6. Principal Product Type: [Circle one: Annuity(ies) - Fixed, Annuity(ies) - Variable, Banking Products (Other than CD(s)), CD(s), Commodity Options(s), Debt - Asset Backed, Debt - Corporate, Debt - Government, Debt - Municipal, Derivative(s), Direct Investment(s) - DPP & LP Interest(s), Equity - OTC, Equity Listed (Common & Preferred Stock), Futures - Commodity, Futures - Financial, Index Options(s), Insurance, Investment Contract(s), Money Market Fund(s), Mutual Fund(s), No Product, Options, Other, Penny Stock(s), Unit Investment Trust(s)] Other Product Types: 					
7.	Describe the allegations related to this regulatory action. (The information must fit within the space provided.):					
8.	Current status? Pending On Appeal Final					
9.	If on appeal, regulatory action appealed to: (SEC, SRO, Federal or State Court) and Date Appeal Filed:					
lf F	inal or On Appeal, complete all items below. For Pending Actions, complete Item 14 only.					
10.	How was the matter resolved: [Circle one: Acceptance, Waiver & Consent(AWC); Consent; Decision; Decision & Order of Offer of Settlement; Dismissed; Order; Other; Settled; Stipulation and Consent; Vacated; Withdrawn]					
11.	 11. Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? Yes No 					
12.	Resolution Date (MM/DD/YYYY): Exact Explanation If not exact, provide explanation:					

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\square	U6 - REGULATORY ACTION DRP (CONTINUED)							
13	Resolution Detail: A. Were any of the following sanctions ordered? (Check all appropriate items): Monetary/Fine Amount: \$ Disgorgement/Restitution Censure Cease and Desist/Injunction Bar Suspension							
	 B. Other sanctions ordered: C. Sanction detail: if suspended, enjoined or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against the subject, date paid and if any portion of penalty was waived: 							
14.	Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the action as well as the current status or disposition and/or finding(s). Include relevant terms, conditions and dates. Include the number of investors in the reporting jurisdiction, the total number of investors in the program, the amount invested in the reporting jurisdiction and the total amount invested. Your information must fit within the space							

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	U6 - SRO ARBITRATION DRP
Thi	s Disclosure Reporting Page is an IIINITIAL OR IAMENDED
1.	Case Name:
2.	Arbitration/Reparation filed with:
3.	Date case was initiated (MM/DD/YYYY):
4.	Case Number:
5.	Employing Firm when events occurred which led to the arbitration/reparation:
6.	Allegation(s):
7.	Principal Product Type: [Circle one: Annuity(ies) - Fixed, Annuity(ies) - Variable, Banking Products (Other than CD(s)), CD(s), Commodity Options(s), Debt - Asset Backed, Debt - Corporate, Debt - Government, Debt - Municipal, Derivative(s), Direct Investment(s) - DPP & LP Interest(s), Equity - OTC, Equity Listed (Common & Preferred Stock), Futures - Commodity, Futures - Financial, Index Options(s), Insurance, Investment Contract(s), Money Market Fund(s), Mutual Fund(s), No Product, Options, Other, Penny Stock(s), Unit Investment Trust(s)] Other Product Types:
8.	Alleged Compensatory Damage Amount: \$
9.	Is arbitration/reparation currently pending? Yes No If No, how was arbitration/reparation resolved? [Circle one: Award, Denied, Dismissed, Other, Settled, Withdrawn]
	Resolution Date (MM/DD/YYYY):
10.	Disposition details:

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	U6 - SUBJECT OF ACTION							
FIRST NAME:		MIDDLE NAME:	LAST NAME:					
SUFFIX:		ALIAS:						
DOB (MM/DD/YYYY):		SSN:		INDIVIDUAL #:				
RESIDENTIAL STREET ADDRES	S LINE 1:		RESIDENTIAL STREET ADDRESS LINE 2:					
CITY:	STATE:		COUNTRY:	ZIP/POSTAL CODE:				
RESIDENTIAL STREET ADDRESS LINE 1:			RESIDENTIAL STREET ADDRESS LINE 2:					
CITY: STATE:			COUNTRY:		ZIP/POSTAL CODE:			
BUSINESS STREET ADDRESS LINE 1:			BUSINESS STREET ADDRESS LINE 2:					
СПТҮ:	STATE:		COUNTRY:		ZIP/POSTAL CODE:			
REGULATOR CONTACT:			REGULATOR PHONE NUMBER:					

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U6 - BANKRUPTCY/SIPC/COMPROMISE WITH CREDITORS DRP
This Disclosure Reporting Page is an IIINITIAL OR IAMENDED
1. Action Type: [Circle one: Bankruptcy, Compromise, Declaration, Liquidated, Other, Receivership]
 Action Date (MM/DD/YYYY) (Provide date bankruptcy was filed, or date SIPC was initiated, or date of compromise with creditor): Exact Explanation If not exact, provide explanation:
 If the financial action relates to an organization over which the subject exercise(d) <i>control</i>, enter Organization Name and subject's position, title or relationship:
Was the Organization investment-related? Yes No
 Court (Name of Federal, State or Foreign Court), Location of Court (City or County <u>and</u> State or Country), Docket/Case Number and Bankruptcy Chapter Number (if Federal Bankruptcy Filing):
5. Is action currently pending?
6. If not pending, provide disposition type: [Circle one: Direct Payment Procedure, Discharged, Dismissed, Dissolved, Other, SIPA Trustee Appointed, Satisfied/Released]
7. Disposition Date (MM/DD/YYYY): Exact Explanation If not exact, provide explanation:
 Provide a brief summary of events leading to the action and if not discharged, explain. (The information must fit within the space provided.):
 If a SIPA trustee was appointed or a direct payment procedure was begun, enter the amount paid or agreed to be paid by the subject; or the name of the trustee:
Currently Open? Yes No
Date Direct Payment Initiated/Filed or Trustee Appointed (MM/DD/YYYY): Exact Explanation If not exact, provide explanation:
10. Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the action as well as the current status or final disposition. Your information must fit within the space provided.

1. (U6 - CIVIL JUDICIAL DRP Disclosure Reporting Page is an INITIAL OR AMENDED Court Action initiated by: (Name of regulator, foreign financial regulatory authority, SRO, commodities exchange, Agency, Firm, Private Plaintiff, etc.)
1. (Disclosure Reporting Page is an INITIAL OR AMENDED
1. (Court Action initiated by: (Name of regulator, foreign financial regulatory authority, SRO, commodities exchange,
(Principal Relief Sought: [Circle one: Cease and Desist, Civil Penalty(ies)/Fine(s), Disgorgement, Injunction, Money Damages (Private/Civil Complaint), Other, Restitution, Restraining Order] Other Relief Sought:
	Filing Date of Court Action (MM/DD/YYYY): Exact Explanation f not exact, provide explanation:
(I H (Principal Product Type: [Circle one: Annuity(ies) - Fixed, Annuity(ies) - Variable, Banking Products (Other than CD(s)), CD(s), Commodity Options(s), Debt - Asset Backed, Debt - Corporate, Debt - Government, Debt - Municipal, Derivative(s), Direct Investment(s) - DPP & LP Interest(s), Equity - OTC, Equity Listed (Common & Preferred Stock), Futures - Commodity, Futures - Financial, Index Options(s), Insurance, Investment Contract(s), Money Market Fund(s), Mutual Fund(s), No Product, Options, Other, Penny Stock(s), Unit Investment Trust(s)]
5. F C	Formal Action was brought in (include name of Federal, Military, State or Foreign Court, Location of Court - City or County <u>and</u> State or Country, Docket/Case Number):
6. E	Employing Firm when activity occurred which led to the civil judicial action:
7. C	Describe the allegations related to this civil action. (The information must fit within the space provided.):
8. C	Current Status? Pending On Appeal Final
9. lf	f on appeal, action appealed to (provide name of court):

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U6 - CIVIL JUDICIAL DRP (CONTINUED)
10. If pending, date notice/process was served (MM/DD/YYYY): Exact Explanation If not exact, provide explanation:
If Final or On Appeal, complete all items below. For Pending Actions, complete Item 14 only.
11. How was matter resolved: [Circle one: Consent, Dismissed, Judgment Rendered, Opinion, Other, Settled, Withdrawn]
12. Resolution Date (MM/DD/YYYY): Exact Explanation If not exact, provide explanation:
 13. Resolution Detail: A. Were any of the following Sanctions Ordered or Relief Granted? (Check all appropriate items): Monetary/Fine Amount: \$ Disgorgement/Restitution Censure Cease and Desist/Injunction Bar B. Other Sanctions: C. Sanction detail: if suspended, enjoined or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against broker, date paid and if any portion of penalty was waived:
14. Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the action, as well as the current status or disposition and/or finding(s). Include the number of investors in the reporting jurisdiction, the total number of investors in the program, the amount invested in the reporting jurisdiction, and the total amount invested. Your information must fit within the space provided.

	Rev. Form U6 (06/2003)
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This	s Disclosure Reporting Page is an IIIIIIAL OR IAMENDED
1.	If charge(s) were brought against an organization over which the subject exercise(d) <i>control</i> : (Enter Organization Name, whether or not the organization was an <i>investment-related</i> business and the subject's position, title or relationship.)
2.	Formal Charge(s) were brought in: (include name of Federal, Military, State or Foreign Court, Location of Court - City or County <u>and</u> State or Country, Docket/Case number).
3.	Event Disclosure Detail (Use this for both organizational and individual charges.)
	A. Date First Charged (MM/DD/YYYY): Exact Explanation If not exact, provide explanation:
	B. Event Disclosure Detail (include Charge(s)/Charge Description(s), and <u>for each charge provide</u> : <u>1</u> . number of counts, <u>2</u> . felony or misdemeanor, <u>3</u> . plea for each charge, and <u>4</u> . product type if charge is investment-related):
	C. Did any of the Charge(s) within the Event involve a Felony?
	D. Current status of the Event? Pending On Appeal Final
	 E. Event Status Date (complete unless status is Pending) (MM/DD/YYYY):
	Disposition Disclosure Detail Include for each charge, <u>A</u> . Disposition Type [e.g., convicted, acquitted, dismissed, pretrial, etc.], <u>B</u> . Date, <u>C</u> . Sentence/Penalty, <u>D</u> . Duration [if sentence-suspension, probation, etc.], <u>E</u> . Start Date of Penalty, <u>F</u> . Penalty/Fine Amount and <u>G</u> . Date Paid.
	Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the charge(s) as well as the current status or final disposition. Include the number of investors in the reporting jurisdiction, the total number of investors in the program, the amount invested in the reporting jurisdiction, the total amount invested and whether the action is based on a referral or investigation from your securities division. Your information must fit within the space provided.

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U6 - REGULATORY ACTION DRP
This Disclosure Reporting Page is an INITIAL OR AMENDED
1. Regulatory Action initiated by: SEC Other Federal State SRO Foreign Federal Banking Agency National Credit Union Administration Other Full name of regulator, foreign financial regulatory authority, Federal, State, SRO, commodities exchange or National Credit Union Administration)
2. Principal Sanction/Relief Sought: [Circle one: Bar, Cease and Desist, Censure, Civil and Administrative Penalty(ies)/Fine(s), Denial, Disgorgement, Expulsion, Injunction, Other, Prohibition, Reprimand, Restitution, Revocation, Suspension, Undertaking] Other Sanctions/Relief Sought:
3. Date Initiated (MM/DD/YYYY): Exact Explanation If not exact, provide explanation:
4. Docket/Case Number:
5. Employing Firm when activity occurred which led to the regulatory action:
 6. Principal Product Type: [Circle one: Annuity(ies) - Fixed, Annuity(ies) - Variable, Banking Products (Other than CD(s)), CD(s), Commodity Options(s), Debt - Asset Backed, Debt - Corporate, Debt - Government, Debt - Municipal, Derivative(s), Direct Investment(s) - DPP & LP Interest(s), Equity - OTC, Equity Listed (Common & Preferred Stock), Futures - Commodity, Futures - Financial, Index Options(s), Insurance, Investment Contract(s), Money Market Fund(s), Mutual Fund(s), No Product, Options, Other, Penny Stock(s), Unit Investment Trust(s)] Other Product Types:
7. Describe the allegations related to this regulatory action. (The information must fit within the space provided.):
8. Current status? Pending On Appeal Final
9. If on appeal, regulatory action appealed to: (SEC, SRO, Federal or State Court) and Date Appeal Filed:
If Final or On Appeal, complete all items below. For Pending Actions, complete Item 14 only.
 How was the matter resolved: [Circle one: Acceptance, Waiver & Consent(AWC); Consent; Decision; Decision & Order of Offer of Settlement; Dismissed; Order; Other; Settled; Stipulation and Consent; Vacated; Withdrawn]
11. Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?
12. Resolution Date (MM/DD/YYYY): Exact Explanation If not exact, provide explanation:

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	U6 - REGULATORY ACTION DRP (CONTINUED)
13	Resolution Detail: A. Were any of the following sanctions ordered? (Check all appropriate items): Monetary/Fine Amount: \$ Disgorgement/Restitution Revocation/Expulsion/Denial Cease and Desist/Injunction Bar Suspension Bar B. Other sanctions ordered: Discordered:
	C. Sanction detail: if suspended, enjoined or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against the subject, date paid and if any portion of penalty was waived:
14.	Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the action as well as the current status or disposition and/or finding(s). Include relevant terms, conditions and dates. Include the number of investors in the reporting jurisdiction, the total number of investors in the program, the amount invested in the reporting jurisdiction and the total amount invested. Your information must fit within the space

	Rev. Form U6 (06/2003)
	U6 - SRO ARBITRATION DRP
Thi	s Disclosure Reporting Page is an INITIAL OR IMAMENDED
1.	Case Name:
2.	Arbitration/Reparation filed with:
3.	Date case was initiated (MM/DD/YYYY):
4.	Case Number:
5.	Employing Firm when events occurred which led to the arbitration/reparation:
6.	Allegation(s):
7.	Principal Product Type: [Circle one: Annuity(ies) - Fixed, Annuity(ies) - Variable, Banking Products (Other than CD(s)), CD(s), Commodity Options(s), Debt - Asset Backed, Debt - Corporate, Debt - Government, Debt - Municipal, Derivative(s), Direct Investment(s) - DPP & LP Interest(s), Equity - OTC, Equity Listed (Common & Preferred Stock), Futures - Commodity, Futures - Financial, Index Options(s), Insurance, Investment Contract(s), Money Market Fund(s), Mutual Fund(s), No Product, Options, Other, Penny Stock(s), Unit Investment Trust(s)]
	Other Product Types:
8.	Alleged Compensatory Damage Amount: \$
9.	Is arbitration/reparation currently pending? Tyes No If No, how was arbitration/reparation resolved? [Circle one: Award, Denied, Dismissed, Other, Settled, Withdrawn]
	Resolution Date (MM/DD/YYYY):
10.	Disposition details:

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		U6 - SUBJEC	T OF ACTION		
ENTITY NAME:					ORG #:
DBA NAME:					
BUSINESS STREET ADDRESS LINE	1:		BUSINESS STREET ADD	RESS LINE	2:
СІТУ:	STATE:		COUNTRY:		ZIP/POSTAL CODE:
LEGAL STATUS OF SUBJECT:			all	OTHER (SPE	CIFY)
			COMPANY		
STATE OF FORMATION:		COUNTRY OF FORMAT	NON:	DATE OF F	ORMATION (MM/DD/YYYY):
REGULATOR CONTACT:			REGULATOR PHONE NU	MBER:	

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	U6 - BANKRUPTCY/SIPC/COMPROMISE WITH CREDITORS DRP
Thi	s Disclosure Reporting Page is an IIIIIIAL OR IAMENDED
IAR	D SEC Only IA Disclosure Expiration Date:
1.	Action Type: [Circle one: Bankruptcy, Compromise, Declaration, Liquidated, Other, Receivership]
2.	Action Date (MM/DD/YYYY): Exact Explanation
3.	If the financial action relates to an organization over which you exercise(d) <i>control</i> , enter Organization Name and your position, title or relationship:
	Was the Organization investment-related? 🔲 Yes 🔲 No
4.	Court (Name of Federal, State or Foreign Court), Location of Court (City or County <u>and</u> State or Country), Docket/Case Number and Bankruptcy Chapter Number (if Federal Bankruptcy Filing):
5.	Is action currently pending? Yes No
6.	If not pending, provide disposition type: [Circle one: Direct Payment Procedure, Discharged, Dismissed, Dissolved, Other, SIPA Trustee Appointed, Satisfied/Released]
7.	Disposition Date (MM/DD/YYYY): Disposition Disposition Date (MM/DD/YYYY): Disposition Disp
8.	Provide a brief summary of events leading to the action and if not discharged, explain. (The information must fit within the space provided.):
9.	If a SIPA trustee was appointed or a direct payment procedure was begun, enter the amount paid or agreed to be paid by the subject; or the name of the trustee:
	Currently Open? Yes No Date Direct Payment Initiated/Filed or Trustee Appointed (MM/DD/YYYY): Exact Explanation If not exact, provide explanation:
10.	Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the action as well as the current status or final disposition. Include the details as to creditors, terms, conditions, amounts due and settlement schedule (if applicable). Your information must fit within the space provided.

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U6 - CIVIL JUDICIAL DRP
This Disclosure Reporting Page is an 🔲 INITIAL OR 🔲 AMENDED
One event may result in more than one affirmative answer to the above items. Use only one DRP to report details related to the same event. Unrelated civil judicial actions must be reported on separate DRPs.
IARD SEC Only IA Disclosure Expiration Date:
 Court Action initiated by: (Name of regulator, foreign financial regulatory authority, SRO, commodities exchange, Agency, Firm, Private Plaintiff, etc.)
 Principal Relief Sought: [Circle one: Cease and Desist, Civil Penalty(ies)/Fine(s), Disgorgement, Injunction, Money Damages (Private/Civil Complaint), Other, Restitution, Restraining Order] Other Relief Sought:
3. Filing Date of Court Action (MM/DD/YYYY): Exact Explanation If not exact, provide explanation:
 Principal Product Type: [Circle one: Annuity(ies) - Fixed, Annuity(ies) - Variable, Banking Products (Other than CD(s)), CD(s), Commodity Options(s), Debt - Asset Backed, Debt - Corporate, Debt - Government, Debt - Municipal, Derivative(s), Direct Investment(s) - DPP & LP Interest(s), Equity - OTC, Equity Listed (Common & Preferred Stock), Futures - Commodity, Futures - Financial, Index Options(s), Insurance, Investment Contract(s), Money Market Fund(s), Mutual Fund(s), No Product, Options, Other, Penny Stock(s), Unit Investment Trust(s)] Other Product Types:
 Formal Action was brought in (include name of Federal, Military, State or Foreign Court, Location of Court - City or County <u>and</u> State or Country, Docket/Case Number):
6. Employing Firm when activity occurred which led to the civil judicial action:
7. Describe the allegations related to this civil action. (The information must fit within the space provided.):
8. Current Status? Pending On Appeal Final
9. If on appeal, action appealed to (provide name of court):
Date Appeal Filed (MM/DD/YYYY):

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		n an
	U6 - CIVIL JUDICI	AL DRP (CONTINUED)
	pending, date notice/process was served (MM/DD/Y not exact, provide explanation:	YYY): Exact Explanation
lf Fina	l or On Appeal, complete all items below. Fo	or Pending Actions, complete Item 14 only.
11. H	ow was matter resolved: [Circle one: Consent, Dismisse	ed, Judgment Rendered, Opinion, Other, Settled, Withdrawn]
	esolution Date (MM/DD/YYYY): not exact, provide explanation:	Exact Explanation
A. B.	(General Securities Principal, Financial Operations condition of the sanction, provide length of time give condition has been satisfied. If disposition resulted	eck all appropriate items): Revocation/Expulsion/Denial Censure Bar rovide duration including start date and capacities affected Principal, etc.). If requalification by exam/retraining was a en to requalify/retrain, type of exam required and whether in a fine, penalty, restitution, disgorgement or monetary against broker, date paid and if any portion of penalty was
we jur	Il as the current status or final disposition and/or find	a brief summary of the circumstances leading to the action, as ing(s). Include the number of investors in the reporting n, the amount invested in the reporting jurisdiction and the he space provided.

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	U6 - CRIMINAL DRP
This D	Disclosure Reporting Page is an INITIAL OR AMENDED
	SEC Only A Disclosure Expiration Date:
N	charge(s) were brought against an organization over which the subject exercise(d) <i>control</i> : (Enter Organization ame, whether or not the organization was an <i>investment-related</i> business and the subject's position, title or elationship.)
	ormal Charge(s) were brought in: (include name of Federal, Military, State or Foreign Court, Location of Court - C County <u>and</u> State or Country, Docket/Case number).
	rent Disclosure Detail (Use this for both organizational and individual charges.)
Α.	Date First Charged (MM/DD/YYYY):
	If not exact, provide explanation:
B.	
	If not exact, provide explanation: Event Disclosure Detail (Include Charge(s)/Charge Description(s), and <u>for each charge provide</u> : <u>1</u> . numbe of counts, <u>2</u> . felony or misdemeanor, <u>3</u> . plea for each charge, and <u>4</u> . product type if charge is
C.	If not exact, provide explanation: Event Disclosure Detail (include Charge(s)/Charge Description(s), and <u>for each charge provide</u> : <u>1</u> . numbe of counts, <u>2</u> . felony or misdemeanor, <u>3</u> . plea for each charge, and <u>4</u> . product type if charge is investment-related):
C. D.	If not exact, provide explanation: Event Disclosure Detail (include Charge(s)/Charge Description(s), and <u>for each charge provide</u> : <u>1</u> . number of counts, <u>2</u> . felony or misdemeanor, <u>3</u> . plea for each charge, and <u>4</u> . product type if charge is <i>investment-related</i>): Did any of the Charge(s) within the Event involve a Felony?

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	U6 - REGULATORY ACTION DRP
Thi	s Disclosure Reporting Page is an IIIIIIIAL OR IAMENDED
IAF	RD SEC Only IA Disclosure Expiration Date:
1.	Regulatory Action initiated by: SEC Other Federal State SRO Foreign Federal Banking Agency National Credit Union Administration Other Full name of regulator, foreign financial regulatory authority, Federal, State, SRO, commodities exchange or National Credit Union Administration)
2.	Principal Sanction/Relief Sought: [Circle one: Bar, Cease and Desist, Censure, Civil and Administrative Penalty(ies)/Fine(s), Denial, Disgorgement, Expulsion, Injunction, Other, Prohibition, Reprimand, Restitution, Revocation, Suspension, Undertaking] Other Sanctions/Relief Sought:
3.	Date Initiated (MM/DD/YYYY): Exact Explanation
4.	Docket/Case Number:
5.	Employing Firm when activity occurred which led to the regulatory action:
6.	 Principal Product Type: [Circle one: Annuity(ies) - Fixed, Annuity(ies) - Variable, Banking Products (Other than CD(s)), CD(s), Commodity Options(s), Debt - Asset Backed, Debt - Corporate, Debt - Government, Debt - Municipal, Derivative(s), Direct Investment(s) - DPP & LP Interest(s), Equity - OTC, Equity Listed (Common & Preferred Stock), Futures - Common Futures - Financial, Index Options(s), Insurance, Investment Contract(s), Money Market Fund(s), Mutual Fund(s), No Product Options, Other, Penny Stock(s), Unit Investment Trust(s)] Other Product Types:
7.	Describe the allegations related to this regulatory action. (The information must fit within the space provided.):
8.	Current Status? Pending On Appeal Final
9.	If on appeal, regulatory action appealed to: (SEC, SRO, Federal or State Court) and Date Appeal Filed:
	inal or On Appeal, complete all items below. For Pending Actions, complete Item 14 only. How was matter resolved: [Circle one: Acceptance, Waiver & Consent(AWC); Consent; Decision; Decision & Orde Offer of Settlement; Dismissed; Order; Other; Settled; Stipulation and Consent; Vacated; Wtihdrawn]
	Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

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U6 - REGULATORY ACTION DRP (COI	NTINUED)
12. Resolution Date (MM/DD/YYYY): Exact If not exact, provide explanation:	Explanation
13. Resolution Detail: A. Were any of the following Sanctions Ordered? (Check all appropriate it Monetary/Fine Amount: \$ Disgorgement/Restitution Revocation/Exp Cease and Desist/Injunction Bar Suspension B. Other Sanctions Ordered: C. Sanction detail: if suspended, enjoined or barred, provide duration incluing	bulsion/Denial
(General Securities Principal, Financial Operations Principal, etc.). If red condition of the sanction, provide length of time given to requalify/retrain condition has been satisfied. If disposition resulted in a fine, penalty, res compensation, provide total amount, portion levied against the subject, was waived:	qualification by exam/retraining was a n, type of exam required and whether stitution, disgorgement or monetary
14. Comment (Optional). You may use this field to provide a brief summary of the as well as the current status or final disposition and/or finding(s). Include results include the number of investors in the reporting jurisdiction, the total number invested in the reporting jurisdiction, the total amount invested and whether investigation from your securities division. Your information must fit within the total and the total and the total and the total and the total amount investigation from your securities division. Your information must fit within the total and the total and the total and the total and the total amount invested and the total and the total and the total and the total amount invested and the total amount invested and the total and the total amount invested amount invested and the total amount invested amoun	elevant terms, conditions and dates. er of investors in the program, the amount the action is based on a referral or

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U6 - SUBJECT OF ACTION					
ENTITY NAME:					CRD #:
CRD DBA NAME:					
BUSINESS STREET ADDRESS LINE	: 1:		BUSINESS STREET ADD	RESS LINE	2:
CITY: STATE:			COUNTRY:		ZIP/POSTAL CODE:
LEGAL STATUS OF SUBJECT: SOLE PROPRIETORSHIP OTHER (SPECIFY) PARTNERSHIP LIMITED LIABILITY COMPANY					
STATE OF FORMATION:	STATE OF FORMATION: COU			COUNTRY OF FORMATION: DATE OF F	
IARD PRIMARY BUSINESS NAME:				.	
BUSINESS STREET ADDRESS LINE	1:		BUSINESS STREET ADD	RESS LINE	2:
СІТҮ:	STATE:		COUNTRY:		ZIP/POSTAL CODE:
IARD LEGAL STATUS OF SUBJECT: CORPORATION SOLE PROPRIETORSHIP ILIMITED LIABILITY PARTNERSHIP (LLP) PARTNERSHIP ILIMITED LIABILITY COMPANY (LLC) OTHER (SPECIFY)					
STATE OF FORMATION:		COUNTRY OF FORMAT	70N:	DATE OF F	ORMATION (MM/DD/YYYY):
REGULATOR CONTACT:			REGULATOR PHONE NU	MBER:	

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U6 - BANKRUPTCY/SIPC/COMPROMISE WITH CREDITORS DRP
This Disclosure Reporting Page is an INITIAL OR AMENDED
IARD SEC Only IA Disclosure Expiration Date:
1. Action Type: [Circle one: Bankruptcy, Compromise, Declaration, Liquidated, Other, Receivership]
2. Action Date (MM/DD/YYYY): Exact Explanation If not exact, provide explanation:
 If the financial action relates to an organization over which you exercise(d) control, enter Organization Name and your position, title or relationship:
Was the Organization investment-related? Yes INo
 Court (Name of Federal, State or Foreign Court), Location of Court (City or County <u>and</u> State or Country), Docket/Case Number and Bankruptcy Chapter Number (if Federal Bankruptcy Filing):
5. Is action currently pending? Yes No
 If not pending, provide disposition type: [Circle one: Direct Payment Procedure, Discharged, Dismissed, Dissolved, Other, SIPA Trustee Appointed, Satisfied/Released]
7. Disposition Date (MM/DD/YYYY): Exact Explanation If not exact, provide explanation:
 Provide a brief summary of events leading to the action and if not discharged, explain. (The information must fit within the space provided.):
 If a SIPA trustee was appointed or a direct payment procedure was begun, enter the amount paid or agreed to be paid by the subject; or the name of the trustee:
Currently Open? Yes No Date Direct Payment Initiated/Filed or Trustee Appointed (MM/DD/YYYY): Exact Explanation If not exact, provide explanation:
10. Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the action as well as the current status or final disposition. Include the details as to creditors, terms, conditions, amounts due and settlement schedule (if applicable). Your information must fit within the space provided.

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U6 - CIVIL JUDICIAL DRP				
This Disclosure Reporting Page is an IIINITIAL OR IAMENDED				
One event may result in more than one affirmative answer to the above items. Use only one DRP to report details related to the same event. Unrelated civil judicial actions must be reported on separate DRPs.				
IARD SEC Only IA Disclosure Expiration Date:				
 Court Action initiated by: (Name of regulator, foreign financial regulatory authority, SRO, commodities exchange, Agency, Firm, Private Plaintiff, etc.) 				
 Principal Relief Sought: [Circle one: Cease and Desist, Civil Penalty(ies)/Fine(s), Disgorgement, Injunction, Money Damages (Private/Civil Complaint), Other, Restitution, Restraining Order] Other Relief Sought: 				
3. Filing Date of Court Action (MM/DD/YYYY): Exact Explanation If not exact, provide explanation:				
4. Principal Product Type: [Circle one: Annuity(ies) - Fixed, Annuity(ies) - Variable, Banking Products (Other than CD(s)), CD(s), Commodity Options(s), Debt - Asset Backed, Debt - Corporate, Debt - Government, Debt - Municipal, Derivative(s), Direct Investment(s) - DPP & LP Interest(s), Equity - OTC, Equity Listed (Common & Preferred Stock), Futures - Commodity, Futures - Financial, Index Options(s), Insurance, Investment Contract(s), Money Market Fund(s), Mutual Fund(s), No Product, Options, Other, Penny Stock(s), Unit Investment Trust(s)]				
Other Product Types:				
 Formal Action was brought in (include name of Federal, Military, State or Foreign Court, Location of Court - City or County <u>and</u> State or Country, Docket/Case Number): 				
6. Employing Firm when activity occurred which led to the civil judicial action:				
7. Describe the allegations related to this civil action. (The information must fit within the space provided.):				
8. Current Status? Pending On Appeal Final				
9. If on appeal, action appealed to (provide name of court):				
Date Appeal Filed (MM/DD/YYYY):				

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U6 - CIVIL JUDICIAL	DRP (CONTINUED)
10. If pending, date notice/process was served (MM/DD/YYYY If not exact, provide explanation:	/): Exact [] Explanation
If Final or On Appeal, complete all items below. For P	ending Actions, complete Item 14 only.
11. How was matter resolved: [Circle one: Consent, Dismissed, Ju	
12. Resolution Date (MM/DD/YYYY):	
 13. Resolution Detail: A. Were any of the following Sanctions Ordered? (Check a Monetary/Fine Amount: \$ Disgorgement/Restitution Cease and Desist/Injunction Suspension B. Other Sanctions: C. Sanction detail: if suspended, enjoined or barred, provid (General Securities Principal, Financial Operations Princondition of the sanction, provide length of time given to condition has been satisfied. If disposition resulted in a compensation, provide total amount, portion levied again 	Revocation/Expulsion/Denial Censure Bar de duration including start date and capacities affected icipal, etc.). If requalification by exam/retraining was a prequalify/retrain, type of exam required and whether fine, penalty, restitution, disgorgement or monetary
 14. Comment (Optional). You may use this field to provide a br well as the current status or final disposition and/or finding(jurisdiction, the total number of investors in the program, the total amount invested. Your information must fit within the s 	ief summary of the circumstances leading to the action, as s). Include the number of investors in the reporting e amount invested in the reporting jurisdiction and the

_	Rev. Form U6 (06/2
- 12 - 52	U6 - CRIMINAL DRP
This C	Disclosure Reporting Page is an INITIAL OR AMENDED
	SEC Only I Disclosure Expiration Date:
N	charge(s) were brought against an organization over which the subject exercise(d) <i>control</i> : (Enter Organizatior ame, whether or not the organization was an <i>investment-related</i> business and the subject's position, title or lationship.)
	ormal Charge(s) were brought in: (include name of Federal, Military, State or Foreign Court, Location of Court - County <u>and</u> State or Country, Docket/Case number).
3. Ev	ent Disclosure Detail (Use this for both organizational and individual charges.)
Α.	Date First Charged (MM/DD/YYYY): Exact Explanation If not exact, provide explanation:
B.	Event Disclosure Detail (include Charge(s)/Charge Description(s), and <u>for each charge provide</u> : <u>1</u> . num of counts, <u>2</u> . felony or misdemeanor, <u>3</u> . plea for each charge, and <u>4</u> . product type if charge is investment-related):
C.	Did any of the Charge(s) within the Event involve a <i>Felony</i> ?
D.	Current status of the Event? Pending On Appeal Final
E.	Event Status Date (complete unless status is Pending) (MM/DD/YYYY): Exact Explanation If not exact, provide explanation:
pre	sposition Disclosure Detail Include for each charge, <u>A</u> . Disposition type [e.g., convicted, acquitted, dismisse etrial, etc.], <u>B</u> . Date, <u>C</u> . Sentence/Penalty, <u>D</u> . Duration [if sentence-suspension, probation, etc.], <u>E</u> . Start Date o nalty, <u>F</u> . Penalty/Fine Amount and <u>G</u> . Date Paid.
as the the	mment (Optional). You may use this field to provide a brief summary of the circumstances leading to the charg well as the current status or final disposition. Include the relevant dates when the conduct that was the subject charge(s) occurred. Include the number of investors in the reporting jurisdiction, the total number of investors program, the amount invested in the reporting jurisdiction, the total amount invested and whether the action is sed on a referral or investigation from your securities division. Your information must fit within the space provide

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	n for for generally for set of the		
\square	U6 - REGULATORY ACTION DRP		
Thi	This Disclosure Reporting Page is an IIIIIIAL OR AMENDED		
IAF	RD SEC Only IA Disclosure Expiration Date:		
1.	Regulatory Action initiated by: SEC Other Federal State SRO Foreign Federal Banking Agency National Credit Union Administration Other Full name of regulator, foreign financial regulatory authority, Federal, State, SRO, commodities exchange or National Credit Union Administration)		
2.	Principal Sanction/Relief Sought: [Circle one: Bar, Cease and Desist, Censure, Civil and Administrative Penalty(ies)/Fine(s), Denial, Disgorgement, Expulsion, Injunction, Other, Prohibition, Reprimand, Restitution, Revocation, Suspension, Undertaking]		
	Other Sanctions/Relief Sought:		
3.	Date Initiated (MM/DD/YYYY): Exact Explanation If not exact, provide explanation:		
4.	Docket/Case Number:		
5.	Employing Firm when activity occurred which led to the regulatory action:		
6.			
	Other Product Types:		
7.	Describe the allegations related to this regulatory action. (The information must fit within the space provided.):		
8.	Current Status? Pending On Appeal Final		
9.	If on appeal, regulatory action appealed to: (SEC, SRO, Federal or State Court) and Date Appeal Filed:		
lf F	inal or On Appeal, complete all items below. For Pending Actions, complete Item 14 only.		
	How was matter resolved: [Circle one: Acceptance, Waiver & Consent(AWC); Consent; Decision; Decision & Order of Offer of Settlement; Dismissed; Order; Other; Settled; Stipulation and Consent; Vacated; Wtihdrawn]		
	Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?		

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U6 - REGULATORY	ACTION DRP (CONTINUED)
12. Resolution Date (MM/DD/YYYY): If not exact, provide explanation:	Exact Explanation
13. Resolution Detail: A. Were any of the following Sanctions Ordered? (C Monetary/Fine Amount: \$ Disgorgement/Restitution Cease and Desist/Injunction Suspension B. Other Sanctions Ordered:	Revocation/Expulsion/Denial Censure Bar
(General Securities Principal, Financial Operation condition of the sanction, provide length of time gi condition has been satisfied. If disposition resulter	provide duration including start date and capacities affected as Principal, etc.). If requalification by exam/retraining was a iven to requalify/retrain, type of exam required and whether d in a fine, penalty, restitution, disgorgement or monetary d against the subject, date paid and if any portion of penalty
as well as the current status or final disposition and/or Include the number of investors in the reporting jurisd	e a brief summary of the circumstances leading to the action r finding(s). Include relevant terms, conditions and dates. liction, the total number of investors in the program, the amount invested and whether the action is based on a referral or mation must fit within the space provided.