



**Years**

**From \_\_\_\_\_ To \_\_\_\_\_ Company Name: \_\_\_\_\_**

**Company Address: \_\_\_\_\_**

**Position Held: \_\_\_\_\_**

**Principle Duties: \_\_\_\_\_**

**Years**

**From \_\_\_\_\_ To \_\_\_\_\_ Company Name: \_\_\_\_\_**

**Company Address: \_\_\_\_\_**

**Position Held: \_\_\_\_\_**

**Principle Duties: \_\_\_\_\_**

**10. In the past 10 years have you ever been indicted, plead guilty, plead nolo contendere, or convicted of a felony?**

**Yes \_\_\_\_\_ No \_\_\_\_\_**

**If yes, provide on a separate sheet full details including a summary, the court, presiding judge(s) and the title and document number.**

**11. In the past 10 years have you, or the past business you were employed at, been a party to any financial services-related material litigation?**

**Yes \_\_\_\_\_ No \_\_\_\_\_**

**If yes, provide on a separate sheet full details including a summary, settlement, et cetera, the court, presiding judge(s) and the title and docket number.**

**Under penalties of law, I declare that I have examined the application and all supporting documents submitted by me in connection therewith, and to the best of my knowledge they are true, correct and complete.**

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**Name & Title (Please Type or Print)**

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**Signature**

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**Resident Address**

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**City**

**State**

**Zip Code**