



Denny Hoskins
Secretary of State
State of Missouri

Securities Division • 600 W. Main, Rm. 229 • PO Box 1276
Jefferson City, MO 65102

Missouri Broker-Dealer Affidavit

I, _____, do hereby swear and affirm that I am a principal of _____ (“the applicant”) and do hereby represent on behalf of the applicant, after having thoroughly searched all applicable records that (check one box per item):

1. ☐ The applicant has made NO offers or sales of securities in the State of Missouri.

☐ The applicant has made the following offers or sales in the State of Missouri (attach a list of the names, addresses, and telephone numbers of all Missouri clients; the dates and amounts of all trades; and the names and CRD numbers of all agents who transacted business in this state):

2. ☐ All owners, control persons, and control affiliates of the applicant are disclosed on the applicant’s Form BD.
☐ The following owners, control persons, and/or control affiliates were not disclosed on the applicant’s Form BD:

3. ☐ All disciplinary matters required to be disclosed on Form BD have been disclosed on the applicant’s Form BD.
☐ The following disciplinary matters to be disclosed on Form BD have not been disclosed:

Further affiant sayeth naught. _____

By: Principal of Applicant

Subscribed and sworn to before me this _____ day of _____, 20_____

_____ My commission expires: _____

Notary Public