

BROKER DEALER AND INVESTMENT ADVISER SURETY BOND  
STATE OF SOUTH CAROLINA  
P.O. Box 11549  
Columbia, SC 29211-1549

BOND NO. \_\_\_\_\_

KNOW ALL PERSONS BY THESE PRESENTS

That, \_\_\_\_\_  
(name and address of broker-dealer or investment adviser)

Principal having filed with the office of the South Carolina Securities Commissioner on or about the \_\_\_\_\_  
day of \_\_\_\_\_, \_\_\_\_\_, an application to transact business in this State as a

Designate whether principal is a broker-dealer or investment adviser  
and \_\_\_\_\_  
name and address of surety

as Surety, a corporation organized under the laws of the State/Commonwealth/Territory of \_\_\_\_\_  
and being duly authorized to transact the business of indemnity and suretyship in this  
State, do hereby acknowledge our indebtedness to the State of South Carolina, for the use and benefit of any person(s) having a claim  
under the conditions of this obligation, in the sum of Thirty Five Thousand Dollars (\$35,000) as required by Section 35-1-510  
provided, however, that the aggregate liability hereunder shall not exceed the sum of Thirty Five Thousand Dollars (\$35,000)  
regardless of the number of claimants.

LIABILITY for the payment of this sum, to which we hereby obligate and bind ourselves, our heirs, executors, administrators,  
successors and assigns, jointly and severally, becomes effective upon the following conditions:

1. Registration/Licensing of the Principal to transact business in this State as a

\_\_\_\_\_

and

2. Failure by the Principal to strictly comply with all applicable provisions of, and orders, rules and regulations issued  
pursuant to, the applicable securities statutes of the particular states, commonwealths or territories in which such  
Principal is registered.

This Bond shall expire at such time as the Principal's registration is withdrawn, terminates through non-renewal or is revoked by the  
South Carolina Securities Commissioner except as to liability for acts or omissions which occur prior to such time. This Bond may  
also be cancelled by the Surety upon 30 days written notice by registered mail to the Principal and to the South Carolina  
Commissioner.

In which case this Bond shall be cancelled upon the expiration of said 30 days period except as to liability for acts or omissions which  
occur prior to the date of cancellation. Notice shall be deemed effective upon receipt by the applicable state agency of said written  
notice along with sufficient proof of notice to the Principal.

NO suit may be maintained to enforce any liability arising under this Bond unless brought within three years after the date of the  
transaction upon which liability is based.

IT is understood and agreed that any person(s) having claim under the conditions of this obligation may initiate suit in any court of  
competent jurisdiction against the Principal and/or Surety upon this Bond.

WITNESS OUR SIGNATURES, this the \_\_\_\_\_ day of \_\_\_\_\_

\_\_\_\_\_  
PRINCIPAL

\_\_\_\_\_  
BY

(Corporate seal, if applicable)

(corporate seal  
if applicable)

\_\_\_\_\_  
Surety

By \_\_\_\_\_

\_\_\_\_\_  
Attorney in Fact  
Agent of Surety

Acknowledgement of Individual

State of \_\_\_\_\_

County of \_\_\_\_\_

On this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_, before me personally appeared instrument, as Principal, and acknowledged to me that he executed the same as his free act and deed.

Notarial Seal

\_\_\_\_\_  
County \_\_\_\_\_  
My Commission expires \_\_\_\_\_

Acknowledgement of Partnership

State of \_\_\_\_\_

County of \_\_\_\_\_

On this \_\_\_\_\_ day of \_\_\_\_\_, before me personally appeared instrument, as Principal, and acknowledged to me that he executed the same as and for the act and deed of said firm.

Notarial Seal

\_\_\_\_\_  
County \_\_\_\_\_  
My Commission expires \_\_\_\_\_

Acknowledgement of Corporation

State of \_\_\_\_\_

County of \_\_\_\_\_

On this \_\_\_\_\_ day of \_\_\_\_\_, before me personally came \_\_\_\_\_, and says that he is the \_\_\_\_\_ of \_\_\_\_\_ Principal heretofore named; that he executed the instrument for and in its behalf, by authority of its Board of Directors, and affixed it seal thereto.

Notarial Seal

\_\_\_\_\_  
County \_\_\_\_\_  
My Commission expires \_\_\_\_\_

