

BIOGRAPHICAL STATEMENT & CONSENT FORM

(for individuals listed in Section III or IV)

1. Individual's identifying information:

Last Name		First Name		Middle Name		Suffix	
SSN		Gender: <input type="checkbox"/> Male <input type="checkbox"/> Female		Date of Birth		State/Country of Birth	
Nicknames, aliases, prior names:							
Current Employment address:							
City				State		Zip Code	
Current Residential address:							
City				State		Zip Code	
Business Phone:		Cell Phone (optional)		Fax Number		Email Address:	

2. Employment History: Provide a complete employment history for the past 5 years. Account for all time including full & part-time employments, self-employment, military service, and homemaking. Also include periods such as unemployed, full-time student, extended travel, etc. (attach additional sheets as needed)

From (MM/YYYY)	To (MM/YYYY)	Employer (company name)	Position Held (no abbreviations)	City/State

3. Material litigation: Provide the history of any material litigation with which you were involved during the preceding five years.

4. Financial statement: Attach a current personal financial statement.

5. Background Investigation: As a part of the application process the Division will perform a state and national criminal background check. A set of two fingerprints will be sent to you upon receipt of this application. You must complete and return the fingerprint cards to the Division in order to continue the application process.

6. Disclosures: If the answer to any of the following is “YES”, provide complete details of all events or proceeds. Remember to file updates to these disclosures as needed.

Financial Disclosure		YES	NO
(A)	Within the past 5 years:		
	(1) Have you filed a personal bankruptcy petition or been the subject of an involuntary bankruptcy petition?	<input type="checkbox"/>	<input type="checkbox"/>
	(2) Based upon events that occurred while you exercised control over any organization, have any filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition?	<input type="checkbox"/>	<input type="checkbox"/>
(B)	Has a bonding company ever denied, paid out on, or revoked a bond for you?	<input type="checkbox"/>	<input type="checkbox"/>
(C)	Do you have any unsatisfied judgments or liens against you?	<input type="checkbox"/>	<input type="checkbox"/>
Criminal Disclosure		YES	NO
(D)	Have you ever:		
	(1) been convicted of or pled guilty or no contest in a domestic, foreign, or military court to any felony?	<input type="checkbox"/>	<input type="checkbox"/>
	(2) been charged with any felony?	<input type="checkbox"/>	<input type="checkbox"/>
(E)	Based upon activities that occurred while your exercised control over it, has an organization ever:		
	(1) been convicted of or pled guilty or no contest in a domestic, foreign, or military court to any felony?	<input type="checkbox"/>	<input type="checkbox"/>
	(2) been charged with any felony?	<input type="checkbox"/>	<input type="checkbox"/>
(F)	(1) Have you ever been convicted of or pled guilty or no contest in a domestic, foreign, or military court to a misdemeanor involving: financial services or a financial services-related business; any fraud, false statements, or omissions; any theft or wrongful taking of property; bribery; perjury; forgery; counterfeiting; extortion; or a conspiracy to commit any of these offenses?	<input type="checkbox"/>	<input type="checkbox"/>
	(2) Have you ever been charged with a misdemeanor as described in (F)(1)?	<input type="checkbox"/>	<input type="checkbox"/>
(G)	Based upon activities that occurred while you exercised control over it, has an organization ever:		
	(1) been convicted of or pled guilty or no contest in a domestic, foreign, or military court to a misdemeanor specified in (F)(1)?	<input type="checkbox"/>	<input type="checkbox"/>
	(2) been charged with a misdemeanor specified in (F)(1)?	<input type="checkbox"/>	<input type="checkbox"/>
Regulatory Action Disclosure		YES	NO
(H)	Has any state or federal regulatory agency or foreign financial regulatory authority ever:		
	(1) found you to have made a false statement or omission or been dishonest, unfair or unethical?	<input type="checkbox"/>	<input type="checkbox"/>
	(2) found you to have been involved in a violation of a financial services-related regulation(s) or statute(s)?	<input type="checkbox"/>	<input type="checkbox"/>
	(3) found you to have been a cause of a financial service-related business having its authorization to do business denied, suspended, revoked or restricted?	<input type="checkbox"/>	<input type="checkbox"/>
	(4) entered an order against you in connection with a financial services-related activity?	<input type="checkbox"/>	<input type="checkbox"/>
	(5) denied, suspended, or revoked your registration or license, disciplined you, or otherwise by order, prevented you from associating with a financial services-related business or restricted your activities?	<input type="checkbox"/>	<input type="checkbox"/>
	(6) barred you from association with an entity regulated by such commission, authority, agency, or officer, or from engaging in a financial services-related business?	<input type="checkbox"/>	<input type="checkbox"/>
	(7) issued a final order based on violations of any law or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	<input type="checkbox"/>	<input type="checkbox"/>
(I)	Have you ever had an authorization to act as an attorney, accountant, or state or federal contractor that was revoked or suspended?	<input type="checkbox"/>	<input type="checkbox"/>
(J)	Are you now the subject of any regulatory proceeding that could result in a “yes” answer to any part of (H) or (I)?	<input type="checkbox"/>	<input type="checkbox"/>

