

SOUTH DAKOTA DEPARTMENT OF LABOR AND REGULATION
DIVISION OF INSURANCE – SECURITIES REGULATION

124 S. Euclid Ave., 2nd Floor, Pierre, South Dakota 57501
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QUARTERLY AND/OR FINAL REPORT OF SALES OF SECURITIES

OUR FILE NUMBER:

DATE OF EFFECTIVE REGISTRATION:

NAME OF ISSUER:

DESCRIPTION OF ISSUE:

AGGREGATE DOLLAR AMOUNT REGISTERED IN SOUTH DAKOTA: \$

UNSOLD BALANCE AT THE BEGINNING OF REPORTING PERIOD: \$

AMOUNT REGISTERED THIS PERIOD: \$

TOTAL AVAILABLE FOR SALE THIS PERIOD: \$

AMOUNT SOLD THIS REPORTING PERIOD: \$

AMOUNT UNSOLD AT END OF THIS REPORTING PERIOD (balance): \$

RATIO OF COMMISSIONS AND UNDERWRITING EXPENSES TO AGGREGATE AMOUNT SOLD:

THIS REPORT COVERS THE PERIOD ENDING:

COMPLETE THE BOTTOM PORTION OF THIS REPORT ONLY IF IT APPLIES:

Please check the appropriate box:

Registration has been COMPLETED and no further offers or sales will be made in connection with this offering and sale of securities.

It is requested that the unsold balance of \$ _____ (aggregate dollar amount) be renewed for an additional period of one (1) year. In support of this request, we enclose the following:

1. Renewal fee of \$100.00 payable to the South Dakota Division of Insurance – Securities Regulation.
2. An updated prospectus containing a balance sheet and a profit and loss statement as of a date not more than ninety (90) days prior to the date of renewal.

EXECUTED THIS _____ DAY OF _____, 20____ AT _____

(Please type or print)

NAME OF ISSUER OR UNDERWRITER

SIGNATURE AND OFFICIAL CAPACITY