



OUTSIDE ACTIVITY DISCLOSURE FORM

•Outside Accounts •Private Securities Transactions •Outside Business Activities

REGISTERED REP: _____

1. OUTSIDE ACCOUNTS:

Any RR who maintains a brokerage account with another broker/dealer must notify CCS in writing even if the account was opened prior to a Representatives affiliation with CCS. A "407 letter" will be sent to the other broker/dealer requesting duplicate statements be sent to the Compliance Department for supervising the account's activity.

Name on Account	Date Opened	Name of Brokerage Firm	Account Number	Address of Brokerage Firm (REQUIRED)

2. PRIVATE SECURITIES TRANSACTIONS:

A private securities transaction is "any securities transaction outside the regular course or scope of RR's licensing with a broker dealer", including transactions for the RR's personal account. Prior to participating in any private securities transaction, RR's must provide CCS with written notice describing in detail the proposed transactions and the RR's proposed role and stating whether he has received or may receive selling compensation in connection with the transaction.

Are you currently engaged in any private securities transactions?

- I have not engaged in a "private securities transaction" for "selling compensation".
- I have engaged in one or more "private securities transactions" for selling compensation". (If you check this box, please request a Private Securities Transaction disclosure form from the Compliance Department or download the form from the CCS Rep Page. The Compliance Department will either approve or deny the activity.

3. OUTSIDE BUSINESS ACTIVITIES:

CCS requires that every outside business activity ("OBA") of every RR, with the exception of passive investments, be disclosed in writing to the Compliance Department. You must provide the required information for each separate business activity conducted. The Compliance Department will either approve or deny the activity.

Are you currently involved in any business other than offering and selling securities through Coordinated Capital Securities?

- No I am not involved in any any Outside Business Activities. I understand that I am required to provide PROMPT notice to CCS prior to engaging in any OBA should I do so in the future.
- Yes, I am involved in outside business activities and have provided the required information for each activity on page two of this form.

****USE A SEPARATE FORM FOR EACH BUSINESS AND/OR ACTIVITY****

1. Name of Business: _____ **Start Date:** _____

Type: Corporation Partnership Sole Proprietorship LLC Other: _____

Address same as CCS Branch or _____
(address) (city) (state) (zip)

Phone Number: (____) _____ Website Address: _____

2. Nature of Business:

Insurance – describe below (required)

- Equity Indexed Life Insurance Property & Casualty Viatical Settlements Other (explain):
 Annuities Long Term Care Life Settlements
 Fixed Annuities

Real Estate - describe below (required)

- Real Estate Sales Commercial Property Other (explain):

Mortgage Related Services- describe below (required)

- Initial Mortgages & Refinancing Reverse Mortgages Other (explain):

Tax Services/Accounting - describe below (required)

- Business Manager Bookkeeping Other (explain):

Professional Services/Consultant

- Attorney Pension –Related Services Notary Other (explain):

Corporate / Non-Profit - check all that apply

- Board of Directors: ___ Profit ___ Non-Profit Charity or Non-Profit Organizations Other (explain):

Business Owner / Retail Sales

Describe:

Unaffiliated (Independent) Registered Investment Adviser (RIA) State Registered SEC Registered

Other - Describe below or attach separate sheet

3. Position / Title / Relationship: _____

4. Description of Duties: _____

5. # Hours Spent on this Activity/Month: _____

Hours Spent on this Activity during Trading Hours (if different): _____

6. Did you raise capital or assist in raising capital to fund this business or any other business? Yes No

7. How are you compensated by this business? Salary Commission Hourly/Flat Fee Profits Other (explain)

8. Are you subject to any formal or informal agreement or arrangement requiring you to turn over or share your securities commissions to this business? Yes No

9. Are any of the business' employees, co-owners, or partners registered representatives of CCS? Yes No

If yes, list their names here: _____

RR SIGNATURE:

By signing below I authorize CCS to investigate my outside business activities and contact any entities or individuals affiliated with such outside business activities. Furthermore, I authorize these entities or individuals to release to you any information that you request about my employment, affiliation and/or activities with this organization.

I further understand that CCS reserves the right to object to, or place conditions on, outside business activities that may constitute, in the judgment of CCS, a potential conflict of interest to my association with the firm.

I acknowledge that I have read and understand the prohibitions and limitations listed in the Rep Compliance Manual regarding OBAs, and understand that there may be other activities not listed that will also be prohibited. **These restrictions and limitations include:**

- **Viatical Settlements** - RR's are prohibited from offering or selling viatical settlements
- **Variable Life Settlements** - RR's are prohibited from offering or selling variable life settlements
- **Fixed Life Settlements** - RR must receive prior approval to offer fixed life settlements.
- **Group Annuities** - RR may only offer and sell group annuities that are available through CCS.
- **Equity Indexed Annuities** – RR's must specifically disclose above this activity in the Insurance section. RR may only offer and sell EIA's that are available through CCS. RR's are prohibited from using marketing materials or other communications with the public not approved by the issuing insurance company.
- **Mortgage-Related Activity** - Any mortgage-related activity with CCS clients is limited to providing assistance in obtaining first mortgages or refinancing existing mortgages. *Recommendations to refinance, to withdraw equity for purpose of investments is prohibited.* When providing mortgage brokerage services, RR's are required to disclose to their customer, in writing, that the RR is not acting as an agent of CCS.
- **Custody of Client Assets** - CCS does not permit RR's to conduct any business activity that would include the custody of client assets including but not limited to having check writing authority, having power of attorney, acting as a trustee/custodian/executor of any client account.
- **Un-Approved Securities Products** - RR's may only sell investment products for which CCS has an active selling agreement. Purchases of unapproved products are strictly prohibited and are deemed "selling away."

If there is a material change in my outside business activities, or if I cease conducting such activity, I will promptly notify CCS in writing.

The foregoing is true and correct.

X _____ Representative Signature **Date** _____

CCS COMPLIANCE DEPARTMENT

X _____ Compliance Associate/Officer **Date** _____