



## REGISTERED REP DECLARATION

Registered Representative: \_\_\_\_\_

Please review all items below, initial each item reviewed and sign the final page of this Declaration. Any exceptions to be noted to these statements must be submitted in full written detail at the time this form is completed.

**Section 1. I hereby declare that, as a duly licensed Registered Representative (RR) with Coordinated Capital Securities, Inc. (CCS) I have not and will not:**

INITIAL:

- \_\_\_\_\_ Offer or sell any securities products not approved by CCS.
- \_\_\_\_\_ Offer or sell any viatical settlements, life settlements, unregistered securities, prime bank notes, pooled loans, tax lien certificates, pay telephone equipment investments or other "so-called" non-securities.
- \_\_\_\_\_ Offer or sell any Equity Indexed Annuities in violation of CCS procedures.
- \_\_\_\_\_ Engage in any venture capital offerings, private securities transactions, or raise capital for any business venture without CCS' prior written approval.
- \_\_\_\_\_ Serve as a trustee, guardian, executor, power of attorney, custodian, etc. without CCS' prior written approval. I understand that while CCS generally does not approve these types of relationships, they may make an exception for my immediate family members.
- \_\_\_\_\_ Hold myself out as an Investment Advisor or a Financial Planner, nor will I charge a fee for investment advice, unless I am properly licensed and registered as an affiliate of CCS' Registered Investment Advisor. (RIA)
- \_\_\_\_\_ Engage in any outside business activity that has not been disclosed to CCS.
- \_\_\_\_\_ Share office space with a representative of another broker/dealer, unless CCS has given prior written approval.
- \_\_\_\_\_ Make any private settlement of claim with a customer without the express knowledge and consent of CCS.
- \_\_\_\_\_ Share or rebate any commissions with a client, a registered representative of another broker/dealer, or any non-registered entity.
- \_\_\_\_\_ Borrow money from or lend money to any client.
- \_\_\_\_\_ Receive compensation, in any manner, either directly or indirectly, from any offer or sale of an investment product, unless CCS has given prior written approval.
- \_\_\_\_\_ Share in the profits or losses of any client's investment.
- \_\_\_\_\_ Accept cash, coins, traveler's checks, or money orders for the payment of any securities transaction.
- \_\_\_\_\_ Write a check from my personal or business account on behalf of customers for the payment of any securities transaction(s).
- \_\_\_\_\_ Engage in excessive trading or "churning" of any client account nor will I exercise discretion in any account without the client's and CCS' express prior written consent.

- \_\_\_\_\_ Sell or offer to sell any security for which I am not properly licensed.
- \_\_\_\_\_ Make unsuitable recommendations to customers, urging them to purchase investments using proceeds obtained from cash-out home mortgage refinancing.
- \_\_\_\_\_ Have clients pre-sign documents prior to their completion (including, but not limited to CCS account forms, applications, transfer requests, withdrawals, check and/or IRA distribution requests, etc.).
- \_\_\_\_\_ Forge client signatures, even as an accommodation to the client.
- \_\_\_\_\_ Distribute any securities or investment advisory business correspondence which has not been reviewed by CCS' Compliance Department.
- \_\_\_\_\_ Utilize any sales literature and/or advertising without the prior written approval of CCS's Compliance Department (including changes to previously approved material) or utilize or distribute any "broker/dealer use only" materials to the public.
- \_\_\_\_\_ Engage in any seminar, radio, television or other public appearance without the prior written approval of CCS' Compliance Department.
- \_\_\_\_\_ Publish a new website or make changes to an existing website used for securities or investment advisory or other activities requiring supervision by CCS, without the prior written approval of CCS' Compliance Department.
- \_\_\_\_\_ Use professional designation(s) on business cards, stationery or advertisements that state or imply that I have a special expertise, certification or training in advising or servicing senior citizens without the prior written approval of CCS' Compliance Department.
- \_\_\_\_\_ Use an email account to discuss or conduct securities, investment advisory, or any other business supervised by CCS with the public unless I have disclosed this email address to CCS and the address is linked to the CCS email server.
- \_\_\_\_\_ Use a personal electronic device (i.e. Blackberry) to discuss or conduct securities, investment advisory, or any other business supervised by CCS with the public without the prior written approval of CCS' Compliance Department.
- \_\_\_\_\_ Use instant messaging to discuss or conduct securities, investment advisory, or any other business supervised by CCS with the public.
- \_\_\_\_\_ Use text messaging to discuss or conduct securities, investment advisory, or any other business supervised by CCS with the public.
- \_\_\_\_\_ Use a blog or other public chat rooms to discuss or conduct securities, investment advisory, or any other business supervised by CCS with the public.

**Section 2. I hereby declare that, as a licensed RR with (Firm), I have and will continue to:**

**INITIAL:**

- \_\_\_\_\_ Forward all customer checks or securities certificates accepted from clients to CCS or appropriate product sponsor (if an OSJ) by noon of the next business day.
- \_\_\_\_\_ Immediately notify CCS' Compliance Department upon receipt of any regulatory inquiry or client complaint (written or verbal).

- \_\_\_\_\_ Transact securities related business only in such states as I am duly licensed.
- \_\_\_\_\_ Review all applicable break point, Letter of Intent and Rights of Accumulation issues with applicable mutual fund clients.
- \_\_\_\_\_ Review all applicable sales charges, holding periods, expenses, costs, tax ramifications and material facts about the products with prospective and/or existing variable annuity/life clients.
- \_\_\_\_\_ Keep my Form U-4 up to date by notifying CCS of any address changes, incidents of liens, bankruptcy, felony, criminal action, license revocation, or other U-4 reportable incidences.
- \_\_\_\_\_ Disclose all current outside business activities, and notify CCS immediately of any changes in such activities.
- \_\_\_\_\_ Conform to all applicable state and federal laws, as well as all rules and policies of CCS and all governing regulatory authorities.
- \_\_\_\_\_ Read, understand and comply with CCS Rep Compliance Manual and acknowledge all rules and requirements stated there in.
- \_\_\_\_\_ Read, understand and comply with all CCS Compliance Alerts/Bulletins posted on CCS' website on the CCS Rep Page. I acknowledge that CCS Compliance Alerts/Bulletins are considered addendums to the CCS Rep Compliance Manual.
- \_\_\_\_\_ Read, understand and comply with CCS' Anti-Money Laundering policy and annual training. Specifically, I have notified the Compliance Department promptly upon detection of any account(s) suspected of money laundering.
- \_\_\_\_\_ Read, understand and comply with CCS' Privacy Policy and procedures.
- \_\_\_\_\_ Comply with all CCS and FINRA Continuing Education Requirements (Firm and Regulatory Elements). I also understand that my registration/license will be suspended and I may be subject to fine, or other disciplinary action(s), if I do not fulfill all applicable continuing education requirements in a timely manner.

**Section 3. I hereby declare, as a licensed RR with CCS, I am aware that:**

**INITIAL:**

- \_\_\_\_\_ My contract with CCS may be terminated for willful disregard and/or violation of policies as put forth by CCS' Compliance Department.
- \_\_\_\_\_ I understand that failure to strictly comply with all elements of this Declaration may result in CCS being held financially liable for my acts and incurring some monetary loss, and that my failure to so comply may be evidence of my manifest intent to cause CCS such financial loss.

**I hereby acknowledge and attest to the above declaration.**

This Declaration is executed on this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_.

Representative's Signature: \_\_\_\_\_