

COMMONWEALTH OF VIRGINIA  
STATE CORPORATION COMMISSION  
DIVISION OF SECURITIES AND RETAIL FRANCHISING

**AGENTS TO BE RENEWED**

(A separate sheet may be attached if necessary)

**NAME**

**ADDRESS**

In order to assist in determining the character and reputation of the above listed individuals, please check below whether or not they have ever been involved in any of the following:

	YES	NO
Convicted of a felony or misdemeanor involving dishonesty.	( )	( )
Sued for fraud, deceit or breach of trust.	( )	( )
Adjudicated as bankrupt.	( )	( )
Any unsatisfied judgments.	( )	( )
Denied a license to sell securities.	( )	( )
A securities license suspended or revoked.	( )	( )
Ever been permanently enjoined by any securities or commodities regulatory agency.	( )	( )

If the broker-dealer is unable to answer any of the above with a (NO), specific information must be given concerning the agent involved.

**CERTIFICATE**

The broker-dealer named in the foregoing renewal application certifies that the information supplied is true and correct to the best of its knowledge and promises to notify the Commission promptly with respect to any change in information heretofore given. Each individual as listed is associated with this firm as an agent and full responsibility is accepted while he is acting in this capacity.

\_\_\_\_\_  
Broker-Dealer Date

\_\_\_\_\_  
By (Signature) Title