

DISCIPLINARY QUESTIONNAIRE (FORM ADV PART 1)

Please respond to the questions below. You can limit your disclosure of any event to ten years following the date of the event. For purposes of calculating this ten-year period, the date of an event is the date the final order, judgment, or decree was entered, or the date any rights of appeal from preliminary orders, judgments, or decrees lapsed.

1. Have you been convicted of or plead guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any felony?	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Have you been charged with any felony? <i>You may limit your response to charges that are currently pending.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
3. Have you been convicted of or plead guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to a misdemeanor involving: investments or an investment-related business, or any fraud, false statements, or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses?	<input type="checkbox"/> Yes <input type="checkbox"/> No
4. Have you been charged with a misdemeanor listed in Item 3 above? <i>You may limit your response to charges that are currently pending.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
5. Are you the named subject of a pending criminal proceeding that involves an investment-related business, fraud, false statements or omission, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses?	<input type="checkbox"/> Yes <input type="checkbox"/> No
6. Are you the subject of any order, judgement or decree permanently or temporarily enjoining, or otherwise limiting, you from engaging in any investment-related activity, or from violating any investment-related statute, rule or order?	<input type="checkbox"/> Yes <input type="checkbox"/> No
7. Has the SEC or the Commodity Futures Trading Commission (CFTC) ever: a. found you to have made a false statement or omission? b. found you to have been involved in a violation of SEC or CFTC regulations or statutes? c. found you to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted? d. entered an order against you in connection with investment-related activity? e. imposed a civil money penalty on you, or ordered you to cease and desist from any activity?	<input type="checkbox"/> Yes <input type="checkbox"/> No
8. Has any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority: a. ever found you to have made a false statement or omission, or been dishonest, unfair, or unethical? b. ever found you to have been involved in a violation of investment-related regulations or statutes? c. ever found you to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted? d. entered an order against you in connection with an investment-related activity? e. ever denied, suspended, or revoked your registration or license, or otherwise prevented you, by order, from associating with an investment-related business or restricted your activity?	<input type="checkbox"/> Yes <input type="checkbox"/> No
9. Has any self-regulatory organization or commodities exchange ever: a. found you to have made a false statement or omission? b. found you have been involved in a violation of its rules? c. found you to have been the cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted? d. disciplined you by expelling or suspending you from membership, barring or suspending you from association with other members, or otherwise restricting your activities?	<input type="checkbox"/> Yes <input type="checkbox"/> No
10. Has an authorization to act as an attorney, accountant, or federal contractor granted to you ever been revoked or suspended?	<input type="checkbox"/> Yes <input type="checkbox"/> No



11. Are you now the subject of any regulatory proceeding that could result in a "yes" answer to any part of Item 7, 8, or 9 above?	<input type="checkbox"/> Yes <input type="checkbox"/> No
12. Has any domestic or foreign court: a. enjoined you in connection with any investment-related activity? b. ever found that you were involved in a violation of investment-related statutes or regulations? c. ever dismissed, pursuant to a settlement agreement, an investment-related civil action brought against you by a state or foreign financial regulatory authority?	<input type="checkbox"/> Yes <input type="checkbox"/> No
13. Are you now the subject of any civil proceeding that could result in a "yes" answer to any part of Item 12 above?	<input type="checkbox"/> Yes <input type="checkbox"/> No

Signature

Name

Date

To receive a Microsoft Word version of this document, please contact us at info@npcomply.com.