STATE OF MISSISSIPPI  
SECRETARY OF STATE    SECURITIES DIVISION  
POST OFFICE BOX 136    JACKSON, MISSISSIPPI 39205  

Surety Bond Number ____________

Know all men by these presents, that __________________________________________________________
_______________________________________________________________________________________________
as principal, and _________________________________________________________________________________
_______________________________________________________________________________________________
as surety, hereby acknowledge ourselves indebted to the STATE OF MISSISSIPPI, in the sum of THIRTY
THOUSAND DOLLARS ($30,000.00)* upon the following conditions, however, and no other, viz:
That said __________________________________________________________________________________
(NAME OF PRINCIPAL)
on or about the _______________ day of __________________, 20__________ , filed in the Office of the
SECRETARY OF STATE of the STATE OF MISSISSIPPI, an application for registration as a broker-dealer or
investment adviser in the STATE OF MISSISSIPPI upon which the STATE OF MISSISSIPPI requires that the
principal herein file a surety bond in the amount stated above, pursuant to the provisions of the Mississippi Securities
Act.

Now Therefore, this bond is executed upon condition that the facts set forth in the application
of ________________________________________________________________________________________,
Principal, for such registration as a broker-dealer or investment adviser, as the case may be, and the proof and
statements offered to the SECRETARY OF STATE, upon which said application is based, are true, and that principal
herein will comply with the provisions of said Act in the sale of securities and if the said proof and statements be true
and said principal shall well and truly comply with the provisions of said Act then this instrument shall be and become
null and void; otherwise to remain in full force and virtue. This bond shall remain in full force and effect unless and
until the SECRETARY OF STATE has received thirty (30) days prior written notice of cancellation and has by
written authorization approved such cancellation. No suit may be maintained to enforce any liability on the bond
unless brought within two (2) years after the sale or other act upon which it is based, except that if the person entitled
to bring such suit shall die before the expiration of the time limited therefore, such suit may be commenced by the
executor or administrator of the deceased person after the expiration of such time but within one (1) year after the
death of such person.

Witness, the signature of said principal and surety on this the _____________day of ____________________,
20_________.

________________________________________________
(PRINCIPAL - print)

BY_____________________________________________

_______________________________________________
(SURETY - print)

Countersigned:

________________________________________________
(RESIDENT MISSISSIPPI AGENT)

* A surety bond of no less than $10,000.00 is required for firms with discretionary authority unless the firm meets the net worth requirements. A surety bond of no less than $30,000.00 is required for firms having (1) custody of or (2) custody of and discretionary authority unless the firm meets the net worth requirements. Refer to Mississippi Securities Act Rules 607 and 609.

NOTE - Attach certified copy of certificate of attorney-in-fact, or of such other official of the surety authorizing execution.