

# 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 **TEN THOUSAND DOLLARS (\$10,000.00)\*** 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)

BY \_\_\_\_\_

\*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.**