

# Application

## SECURITIES & EXCHANGE COMMISSION (SEC SUPPLEMENTAL)

FL- SEC SUPP Q



1. DO YOU REPRESENT SELLERS OR UNDERWRITERS OR BOTH? \_\_\_\_\_
2. WHAT IS THE AVERAGE SIZE OFFERING YOU HANDLE? \_\_\_\_\_
3. LIST YOUR PROMINENT S.E.C. CLIENTS. \_\_\_\_\_
4. WHAT STEPS DO YOU TAKE TO SATISFY THE "DUE DILIGENCE" REQUIREMENT UNDER SECTION II OF THE SECURITIES ACT OF 1933?  
\_\_\_\_\_
5. STATE AMOUNT OF BILLABLE DOLLARS OUT OF THE TOTAL GROSS DERIVED FROM SEC WORK. \_\_\_\_\_
6. WAS ANY MEMBER OF YOUR FIRM EVER A SEC STAFF MEMBER? YES [ ] NO [ ]
7. DO YOU HANDLE SPECULATIVE STOCKS? YES [ ] NO [ ]
8. IF YOU SPECIALIZE IN STATE REGISTRATIONS, WHAT UNDERWRITERS HAVE YOU REPRESENTED IN THE PAST FIVE YEARS?  
\_\_\_\_\_
9. DO ANY MEMBERS OF YOUR FIRM SERVE AS DIRECTORS OR OFFICERS OF OTHER ORGANIZATIONS? YES [ ] NO [ ]  
IF SO, ARE ANY OF THESE ORGANIZATIONS CLIENTS OF YOUR FIRM? YES [ ] NO [ ]
10. WHAT PERCENTAGE OF YOUR SEC WORK IS IN THE FOLLOWING AREAS:
  - A) REGISTRATION: \_\_\_\_\_ %
  - B) PROXIES, INCLUDING MERGERS NOT REGISTERED, BUT PROXY STATEMENTS FILED WITH SEC: \_\_\_\_\_ %
  - C) ANNUAL REPORTS, STATE AND FEDERAL COMPLIANCE, PRIVATE PLACEMENTS, AND OTHER GENERAL SECURITIES ACT RELATED WORK: \_\_\_\_\_ %
  - D) MUNICIPAL AND INDUSTRIAL DEVELOPMENT BONDS: \_\_\_\_\_ %

NOTICE: ANY PERSON WHO KNOWINGLY AND WITH THE INTENT TO DEFRAUD PROVIDES FALSE INFORMATION IN AN INSURANCE APPLICATION, OR PRESENTS, ASSISTS, OR MAKES A FRAUDULENT CLAIM FOR THE PAYMENT OF A LOSS OR OTHER BENEFIT, OR PRESENTS MORE THAN ONE CLAIM FOR THE SAME INCIDENT OF DAMAGE OR LOSS, WILL COMMIT A FELONY AND IF CONVICTED WILL BE SENTENCED FOR EACH VIOLATION WITH A FINE OF NO LESS THAN FIVE THOUSAND (\$5,000) DOLLARS AND NOT EXCEEDING TEN THOUSAND (\$10,000) DOLLARS, OR BE SENTENCED TO IMPRISONMENT FOR A THREE (3) YEAR TERM, OR BOTH PENALTIES. IN THE EVENT OF AGGRAVATING CIRCUMSTANCES, THE TERM COULD BE INCREASED TO A MAXIMUM OF FIVE (5) YEARS; IN THE EVENT OF INTERVENING EXTENUATING CIRCUMSTANCES IT COULD BE REDUCED UP TO A MINIMUM OF TWO (2) YEARS.

SIGNATURE OF APPLICANT: \_\_\_\_\_

DATE: \_\_\_\_\_

TITLE: \_\_\_\_\_

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