

Annual Compliance Questionnaire

Create custom surveys or utilize pre-built Standard Forms to collect and analyze data regarding your reps' annual compliance activities. More than just a database for warehousing information, our annual compliance questionnaires allow your firm to quickly identify gaps in data and remediate issues in real-time. Digital attestations are available throughout the system to verify that information is timely and accurate.

Sample

1. Please provide complete residential contact information:

First Name _____
Last Name _____
Address _____
Phone Number _____
Email _____

2. Please provide complete business contact information:

First Name _____
Last Name _____
Address _____
Phone Number _____
Email _____

3. Check all series registrations that apply:

- 3 - National Commodity Futures
- 4 - Registered Options Principal
- 6 - Investment Company and Variable Contracts (Mutual Funds/Variable Annuities)
- 7 - General Securities Representative (Stockbroker)
- 9 - NYSE General Securities Sales Supervisor - Options
- 10 - NYSE General Securities Sales Supervisor - General Module
- 11 - Assistant Representative - Order Processing
- 14 - NYSE Compliance Officer
- 16 - NYSE Supervisory Analyst
- 17 - Limited Representative (FSA registration)
- 21 - NYSE Front Line Specialist Clerk
- 22 - Direct Participation (Limited partnerships)
- 23 - General Securities Principal (Upgrade from 9 and 10)
- 24 - General Securities Principal
- 25 - NYSE Trading Assistant Examination
- 26 - Investment Company (Mutual Funds) Principal



- 27 - Financial and Operations Principal
- 28 - Financial and Operations Principal Introducing Broker
- 30 - Futures - Branch Office Manager
- 31 - Futures - Managed Funds
- 32 - Futures - United Kingdom Representatives
- 34 - Retail Off-Exchange Forex
- 37 - Canadian Module of the General Securities (with options questions)
- 38 - Canadian Module of the General Securities
- 39 - Direct Participation Programs Principal
- 42 - Registered Options Representative
- 44 - NYSE Arca Options Market Maker
- 47 - Japanese Module of the General Securities
- 51 - Municipal Fund Securities Limited Principal
- 52 - Municipal Securities Representative
- 53 - Municipal Securities Principal
- 55 - Equity Trader - Limited Representative
- 56 - Proprietary Trader Qualification
- 62 - Corporate Securities - Limited Representative
- 63 - Uniform Securities Agent State Law
- 65 - Uniform Registered Investment Adviser Law (RIA)
- 66 - Uniform Investment Adviser - Combined State Laws (Combined 63 and 65)
- 72 - Government Securities - Limited Representative
- 79 - Investment Banking
- 82 - Private Securities Offerings - Limited Representative
- 86 - Research Analyst - Securities Analysis
- 87 - Research Analyst - Regulations
- 99 - Operations Professional
- N/A
- Other (please specify below)

[Text Box]

4. Check all of the professional designations that apply:

- CPA
- CFP
- CRPC
- CRP
- RP
- CTFA
- CIMA
- CIMC
- CPWA
- CLU
- ChFC
- CFA
- N/A
- Other (please specify below)

[Text Box]



5. Check each of the products listed below that you sell or are licensed to sell.

- Mutual Funds
- Unit Investment Trusts
- Variable Annuities
- General Securities
- Life Insurance Products
- Options
- N/A
- Other (please specify below)

[Text Box]

6. In what location(s) do you conduct business?

- All States

<input type="checkbox"/> AL: Alabama	<input type="checkbox"/> NE: Nebraska
<input type="checkbox"/> AK: Alaska	<input type="checkbox"/> NV: Nevada
<input type="checkbox"/> AZ: Arizona	<input type="checkbox"/> NH: New Hampshire
<input type="checkbox"/> AR: Arkansas	<input type="checkbox"/> NJ: New Jersey
<input type="checkbox"/> CA: California	<input type="checkbox"/> NM: New Mexico
<input type="checkbox"/> CO: Colorado	<input type="checkbox"/> NY: New York
<input type="checkbox"/> CT: Connecticut	<input type="checkbox"/> NC: North Carolina
<input type="checkbox"/> DE: Delaware	<input type="checkbox"/> ND: North Dakota
<input type="checkbox"/> FL: Florida	<input type="checkbox"/> OH: Ohio
<input type="checkbox"/> GA: Georgia	<input type="checkbox"/> OK: Oklahoma
<input type="checkbox"/> HI: Hawaii	<input type="checkbox"/> OR: Oregon
<input type="checkbox"/> ID: Idaho	<input type="checkbox"/> PA: Pennsylvania
<input type="checkbox"/> IL: Illinois	<input type="checkbox"/> RI: Rhode Island
<input type="checkbox"/> IN: Indiana	<input type="checkbox"/> SC: South Carolina
<input type="checkbox"/> IA: Iowa	<input type="checkbox"/> SD: South Dakota
<input type="checkbox"/> KS: Kansas	<input type="checkbox"/> TN: Tennessee
<input type="checkbox"/> KY: Kentucky	<input type="checkbox"/> TX: Texas
<input type="checkbox"/> LA: Louisiana	<input type="checkbox"/> UT: Utah
<input type="checkbox"/> ME: Maine	<input type="checkbox"/> VT: Vermont
<input type="checkbox"/> MD: Maryland	<input type="checkbox"/> VA: Virginia
<input type="checkbox"/> MA: Massachusetts	<input type="checkbox"/> WA: Washington
<input type="checkbox"/> MI: Michigan	<input type="checkbox"/> WV: West Virginia
<input type="checkbox"/> MN: Minnesota	<input type="checkbox"/> WI: Wisconsin
<input type="checkbox"/> MS: Mississippi	<input type="checkbox"/> WY: Wyoming
<input type="checkbox"/> MO: Missouri	<input type="checkbox"/> DC: District of Columbia
<input type="checkbox"/> MT: Montana	<input type="checkbox"/> Other (please specify below)

[Text Box]

7. Are you in a supervisory role? (If yes, please explain your area of responsibility and the type of people you supervise.)

- Yes



- If No – please provide details

[Mandatory Text Box]

Registered Representative Information

8. Within the past 12 months have you changed your name?

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]

9. Within the past 12 months have you changed your residential and/or business address? (If yes, please list your new residential and/or business address including city, state, zip code, home telephone number and street address.)

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]

10. Within the past 12 months have you changed departments or title? (If yes, please explain your new department and role.)

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]

11. Within the past 12 months have you opened any outside securities accounts that have not been previously disclosed or reported to compliance? (If yes, please list all outside investment accounts under your control – include those that allow trading of individual securities as well as mutual funds, unit trusts, private placements, etc.)

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]

12. Are duplicate statements of all trading accounts forwarded to the attention of the Compliance Department?

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]



Registration with Affiliated Firms

13. Within the past 12 months have you applied for, or are you under “dual registration” status? (You should only answer yes if you are currently registered with or are seeking registration with a firm that is not affiliated with your current employing firm.)

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]

Other Business

14. Within the past 12 months have you engaged in any other business either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise excluding non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt. (If yes, please provide the following details: the name of the other business, whether the business is investment related, address of the other business, the nature of the other business, your position, title, or hours/month you devote to the other business.)

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]

Criminal Disclosure

15. Within the past 12 months have you been convicted of or plead guilty or “no contest” in a domestic, foreign, or military court to any felony?

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]

16. Within the past 12 months have you been convicted of or plead guilty or “no contest” in a domestic, foreign, or military court to a misdemeanor involving investments or 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?

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]



Regulatory Action Disclosure

17. Within the past 12 months has the U.S. Securities and Exchange Commission or the Commodity Future Trading Commission found you to have made a false statement or omission?

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]

18. Within the past 12 months has the U.S. Securities and Exchange Commission or the Commodity Futures Trading Commission found you to have been involved in a violation of its regulations or status?

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]

19. Within the past 12 months has the U. S. Securities and Exchange Commission or the Commodity Futures Trading Commission found you to have been a cause of an investment related business having its authorization to do business denied, suspended, revoked or restricted?

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]

20. Within the past 12 months has any other Federal regulatory agency or any state regulatory agency or foreign financial regulatory authority found you to have made a false statement or omission or been dishonest, unfair or unethical?

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]

21. Within the past 12 months has any other Federal regulatory agency or any state regulatory agency or foreign financial regulatory authority found you to have been involved in a violation of investment related regulation(s) or statute(s)?

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]



22. Within the past 12 months has any other Federal regulatory agency or any state regulatory agency or foreign financial regulatory authority entered an order against you in connection with an investment related activity?

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]

23. Within the past 12 months has any other Federal regulatory agency or any state regulatory agency or foreign financial regulatory authority denied, suspended, revoked your registration or license?

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]

24. Within the past 12 months have you been the subject of any final order of a state securities commission (or any agency or office performing like functions), state authority that supervise or examines banks, savings associations, or credit unions, state insurance commission (or any agency or office performing like functions), an appropriate federal banking agency, or the National Credit Union Administration that bars you from association with an entity regulated by such commission, authority, agency, or office, or from engaging in the business of securities, insurance, banking, savings association activities, or credit union activities?

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]

25. Within the past 12 months has any self-regulatory organization or commodities exchange ever found you to have made a false statement or omission?

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]

26. Within the past 12 months has any self-regulatory organization or commodities exchange ever found you to have been involved in a violation of its rules (other than a violation designated as a minor rule violation under a plan approved by the U. S. Securities and Exchange Commission)?

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]



27. Within the past 12 months has any self-regulatory organization or commodities exchange ever found you to have been the cause of an investment related business having its authorization to do business denied, suspended, revoked or restricted?

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]

28. Within the past 12 months has any self-regulatory organization or commodities exchange ever disciplined you by expelling or suspending you from membership, barring or suspending your association with its members, or restricting your activities?

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]

29. Within the past 12 months were any charge(s) brought against an organization over which you exercise control?

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]

General Disclosure Questions

30. Within the past 12 months have you ever had an authorization to act as an attorney, accountant or federal contractor that was revoked or suspended?

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]

Consumer Complaints

31. Within the past 12 months have you been notified, in writing, that you are now the subject of any regulatory complaint or proceeding or investigation?

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]



32. Within the past 12 months have you been named as a respondent/defendant in an investment related, consumer-initiated arbitration or civil litigation which alleged that you were involved in one or more sales practice violations that is still pending?

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]

33. Within the past 12 months have you been named as a respondent/defendant in an investment related, consumer-initiated arbitration or civil litigation which alleged that you were involved in one or more sales practice violations that resulted in an arbitration award or civil judgment against you, regardless of the amount?

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]

Civil Judicial Disclosure

34. Within the past 12 months has any domestic or foreign court enjoined you in connection with any investment related activity, involved in a violation of any investment related statute or settlement agreement?

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]

Financial Disclosure

35. Within the past 12 months have you made a compromise with creditors, filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition?

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]

36. Within the past 12 months has a bonding company ever denied, paid out on, or revoked a bond for you?

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]



37. Within the past 12 months have you had any unsatisfied judgments or liens against you?

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]

Heightened Supervision Disclosure

38. Within the past 12 months have you been subject to heightened supervision?

- No
- Yes – please provide details [Flagged Answer]

[Mandatory Text Box]

Testament to Accuracy and Full Disclosure

18. I certify that to the best of my knowledge that the above statements and facts presented to be accurate and true.

First Name _____
Last Name _____
Date _____

