

Status Standards Questions

- 1) Have you ever been convicted of, or had a guilty plea entered against you with respect to, a felony under the criminal laws of any recognized and relevant jurisdiction (whether federal, state or international)?
- 2) Have you ever been convicted of, or had a guilty plea entered against you with respect to, a crime other than a felony?
- 3) Have you ever been the subject of an administrative or enforcement order or disciplinary action by a regulatory agency?
- 4) Have you ever been a non-prevailing defendant in a civil or criminal cause of action, which involves misrepresentation, fraud, extortion, conversion, misappropriation, fiduciary breach, theft, or other similar violation of the laws or any administrative rules of any recognized and relevant jurisdiction (whether federal, state, or international)?
- 5) Have you ever been barred or suspended, as to any form of activity, as a disciplinary measure from registration under the securities laws or regulations (or similar laws or regulations relating to the investment process) of any recognized and relevant jurisdiction (whether federal, state, or international), or from association or affiliation with a self-regulatory organization with legal authority over the investment process (e.g. SEC or FINRA)?
- 6) Have you or a business owned by you ever filed for, or been forced into, bankruptcy?
- 7) Have you ever had an Fi360 designation revoked, an application for an Fi360 designation rejected, or otherwise been subject to discipline by Fi360?

Attestations

I understand that any of the following acts or omissions may result in my application being rejected or my designation revoked:

Intentionally or recklessly making a misleading statement or omission with respect to this application for a designation or during an investigation of satisfaction of these standards.

Failing to respond to any request for information or otherwise failing to cooperate in any investigation of satisfaction of these standards.

Failing to expeditiously report any violation of the status standards, or any decision by a court, regulatory agency, or administrative agency that is likely to evidence unprofessional conduct.

Violating or failing to satisfy the Code of Ethics.