

MU2	BIOGRAPHICAL STATEMENT & CONSENT FORM					Date of filing
Name of Applicant Company _____						
License Number information. Use additional sheets if necessary.	License #	State				
<input type="checkbox"/> NEW APPLICATION <input type="checkbox"/> AMENDMENT <input type="checkbox"/> RENEWAL APPLICATION						
1. Individual's identifying information:						
(A) Full last, first and middle names:						
_____	_____	_____	_____	_____	_____	_____
Last Name			First Name		Full Middle Name	
_____			_____		Suffix (if any)	
(B) Social Security Number: _____			(C) Gender: _____			
(D) Date of Birth (MM/DD/YYYY)		(E) State/Province of Birth:		(F) Country of Birth:		
_____		_____		_____		
(G) List all names(s), other than your legal name, you have used or are using, or by which you are or were known since the age of 18. This field should include for example, nicknames, aliases, and names used before or after marriage. (Use additional sheets as necessary).						
Name: _____ Name: _____ Name: _____ Name: _____						
(H) For amendments only: If this filing reports that an individual's name has changed, enter the new name and attach supporting legal documentation:						
_____	_____	_____	_____	_____	_____	_____
Last Name		First Name		Full Middle Name		Suffix (if any)
_____		_____		_____		_____
(I) Employer Name: _____						
(J) Office of Employment address: (do not use a P.O. Box) <input type="checkbox"/> If this address is your private residence, check this box.						
_____	_____	_____	_____	_____	_____	_____
Number & Street		City		State / Province & Country		Zip+4 / Postal Code
_____		_____		_____		_____
(K) Current Residence address (if different from employment address):						
_____	_____	_____	_____	_____	_____	_____
Number & Street		City		State / Province & Country		Zip+4 / Postal Code
_____		_____		_____		_____
(L) Telephone Numbers and e-mail address:						
(____)____-____ ext _____	(____)____-____	(____)____-____	_____			
Business Phone	Cell Phone (optional)	Fax Line (optional)	e-mail address (required)			

Applicant full legal name: _____ Individual's full legal name: _____

2. Residential History: Starting with current address (item 1K), give all addresses for the past 10 years. (Attach additional sheets as necessary.)

From (MM/YYYY)	To (MM/YYYY)	Street Address	City	State or Province	Zip or Postal Code	Country

3. Employment History: Provide complete employment history for the past 10 years. Account for all time including full & part-time employments, self-employment, military service, and homemaking. Also include periods such as unemployed, full-time student, extended travel, etc. Indicate by "YES" or "NO" whether this employment was *financial service-related* business. (Attach additional sheets as needed.)

From (MM/YYYY)	To (MM/YYYY)	Employer (company name)	Position Held	City	State or Province	Country	YES or NO?

<p>4. Other Business: Are you currently engaged in any other business either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise? (Please exclude non-<i>financial services-related</i> activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.) If YES, provide the following details: the name of the other business; whether the business is <i>financial services-related</i>; the address of the other business; the nature of the other business; your position, title, or relationship with the other business; the start date of your relationship; the approximate number of hours per month you devote to the other business; and briefly describe your duties relating to the other business. (Attach additional sheets as needed.)</p> <p>Details:</p>	<p>YES</p> <p><input type="checkbox"/></p>	<p>NO</p> <p><input type="checkbox"/></p>
<p>5. Disclosures: If the answer to any of the following is "YES", provide complete details of all events or proceedings in an attachment.</p>		
<p style="text-align: center;">Financial Disclosure</p> <p>(A) Within the past ten years:</p> <p>(1) have you filed a personal bankruptcy petition or been the subject of an involuntary bankruptcy petition?</p> <p>(2) based upon events that occurred while you exercised control over an organization, have any organization filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition.</p> <p>(3) have you been the subject of a foreclosure action.</p> <p>(B) Has a bonding company ever denied, paid out on, or revoked a bond for you?</p> <p>(C) Based upon activities that occurred while you exercised control over an organization, has any bonding company ever denied, paid out on, or revoked a bond for the organization.</p> <p>(D) Do you have any unsatisfied judgments or liens against you?</p> <p>(E) Are you delinquent on any court ordered child support payments?</p>	<p>YES</p>	<p>NO</p>
<p style="text-align: center;">Criminal Disclosure</p> <p>(F)</p> <p>(1) Have you ever been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any felony?</p> <p>(2) Are there pending charges against you for any felony?</p> <p>(G) Based upon activities that occurred while you exercised <i>control</i> over it, has an organization ever:</p> <p>(1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any felony?</p> <p>(2) been charged with any <i>felony</i>?</p> <p>(F)</p> <p>(1) Have you ever been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to a <i>misdemeanor involving: financial services</i> or a <i>financial services-related</i> business; any fraud, false statements, or omissions; any theft or wrongful taking of property; bribery; perjury; forgery; counterfeiting; extortion; or a conspiracy to commit any of these offenses?</p> <p>(2) Are there pending charges against you for a misdemeanor as <i>described</i> in 7(F)(1)?</p> <p>(G) Based upon activities that occurred while you exercised <i>control</i> over it, has an organization ever:</p> <p>(1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to a misdemeanor specified in 7(F)(1)?</p> <p>(2) been <i>charged</i> with a <i>misdemeanor</i> specified in 7(F)(1)?</p>		

	YES	NO
<p style="text-align: center;">Regulatory Action Disclosure</p> <p>(H) Has any State or federal regulatory agency or <i>foreign financial regulatory authority</i> ever:</p> <p>(1) <i>found</i> you to have made a false statement or omission or been dishonest, unfair or unethical?</p> <p>(2) <i>found</i> you to have been <i>involved</i> in a violation of a <i>financial services-related</i> regulation(s) or statute(s)?</p> <p>(3) <i>found</i> you to have been a cause of a <i>financial services-related</i> business having its authorization to do business denied, suspended, revoked or restricted?</p> <p>(4) entered an <i>order</i> against you in connection with a <i>financial services-related</i> activity?</p> <p>(5) denied, suspended, or revoked your registration or license, disciplined you, or otherwise by <i>order</i>, prevented you from associating with a <i>financial services-related</i> business or restricted your activities?</p> <p>(6) barred you from association with an entity regulated by such commission, authority, agency, or officer, or from engaging in a <i>financial services-related</i> business?</p> <p>(7) issued a final <i>order</i> based on violations of any law or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</p> <p>(I) Have you ever had an authorization to act as an attorney, accountant, or State or federal contractor that was revoked or suspended?</p> <p>(J) Are you now the subject of any regulatory <i>proceeding</i> that could result in a "yes" answer to any part of 7(H) or 7(I)?</p>		
<p style="text-align: center;">Civil Judicial Disclosure</p> <p>(K) (1) Has any domestic or foreign court ever:</p> <p>(a) <i>enjoined</i> you in connection with any <i>financial services-related</i> activity?</p> <p>(b) <i>found</i> that you were <i>involved</i> in a violation of any <i>financial services-related</i> statute(s) or regulation(s)?</p> <p>(c) dismissed, pursuant to a settlement agreement, a <i>financial services-related</i> civil action brought against you by a State, federal, or <i>foreign financial regulatory authority</i>?</p> <p>(2) Are you named in any pending <i>financial services-related</i> civil action that could result in a "yes" answer to any part of 7K(1)?</p>		
<p style="text-align: center;">Customer Arbitration/Civil Litigation Disclosure</p> <p>(L) Have you ever been named as a respondent/defendant in a <i>financial services-related</i> consumer-initiated arbitration or civil litigation which:</p> <p>(1) is still pending; or</p> <p>(2) resulted in an arbitration award or civil judgment against you, regardless of amount, or that required corrective action; or</p> <p>(3) was settled for any amount?</p>		
<p style="text-align: center;">Termination Disclosure</p> <p>(M) Have you ever voluntarily resigned, been discharged, or permitted to resign after allegations were made that accused you of:</p> <p>(1) violating statute(s), regulation(s), rule(s), or industry standards of conduct?</p> <p>(2) fraud, dishonesty, theft, or the wrongful taking of property?</p>		

INDIVIDUAL'S ACKNOWLEDGEMENT AND CONSENT

EXECUTION:

I, _____ (Full Name), _____ (Company), on this date _____ (MM/DD/YYYY) swear (or affirm) that I executed this application on my own behalf, that I am attesting to and submitting this application and agree with the following:

1. That the information and statements contained herein, including exhibits attached hereto, and other information filed herewith, all of which are made a part of this application, are current, true, and complete and are made under the penalty of perjury, or un-sworn falsification to authorities, or similar provisions as provided by law;
2. To the extent any information previously submitted is not amended, such information remains accurate and complete;
3. That the State of Alaska, to which the application is being submitted, may conduct any investigation into my background in accordance with all laws and regulations;
4. To keep the information contained in this form current and to file accurate supplementary information on a timely basis;
5. To comply with the provisions of law, including the maintenance of accurate books and records, pertaining to the conduct of business for which the Applicant is applying; and
6. I will be familiar with the statutes, regulations, and rules of the State of Alaska with which this application is being filed.

If the Applicant has knowingly made a false statement of a material fact in this application or in any documentation provided to support the foregoing application, the foregoing application may be denied.

I verify that I am the named person above and agree to the language stated.

Alaska Statute 06.01.025 Records of the Department

Information in the records of the department obtained through the administration of this title is confidential, is not subject to subpoena, and may be revealed only with the consent of the department.