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|---|--|--|----------|---------------------|----------------|---------|--------------|
| MU2 | Biographical Statement & Consent Form | Date of Filing | | | | | |
| Name of Applicant : _____ | | _____ | | | | | |
| <div style="display: flex; justify-content: space-between;"> New Application Amendment Renewal Application </div> | | | | | | | |
| 1. Individual's Identifying Information: | | | | | | | |
| _____ | | | | | | | |
| First Name _____ | Middle Name _____ | Last Name _____ Suffix _____ | | | | | |
| Social Security Number: _____ | Gender: _____ | Female Male | | | | | |
| Date of Birth: _____ | State/Province of Birth: _____ | Country of Birth: _____ | | | | | |
| List all names, other than your legal name, you have used or are using, or which you are or were know since 18 years of age. This should include nicknames, aliases, & names used before or after marriage. (Use additional sheets as needed.) | | | | | | | |
| _____ | _____ | _____ | | | | | |
| Name _____ | Name _____ | Name _____ | | | | | |
| For Amendments Only: If this filing reports an individual's name has changed, enter new name & attach supporting document. | | | | | | | |
| _____ | _____ | _____ | | | | | |
| First Name _____ | Middle Name _____ | Last Name _____ Suffix _____ | | | | | |
| Employer Name: _____ | | | | | | | |
| Office of Employment Address _____ | | Check box if this is your private residence. _____ | | | | | |
| _____ | _____ | _____ | | | | | |
| Number & Street (No P.O. Boxes) _____ | City _____ | State _____ Country _____ Postal Code _____ | | | | | |
| Current Residential Address (if different from Employment Address) | | | | | | | |
| _____ | _____ | _____ | | | | | |
| P.O. Box or Number & Street _____ | City _____ | State _____ Country _____ Postal Code _____ | | | | | |
| _____ | _____ | _____ | | | | | |
| Business Phone _____ | Ext. _____ | Fax Number _____ Ext. _____ Mobile Phone _____ | | | | | |
| Primary Email _____ | | | | | | | |
| 2. Residential History: Starting with current address, give all addresses for the past 10 years. (Attach additional pages as needed.) | | | | | | | |
| From MM/YYYY | To MM/YYYY | Address | City | State / Province | Postal Code | Country | |
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| 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 unemployment, full-time student, extended travel, etc. Indicate "Yes" or "No" for employment in financial service-related businesses. (Attach additional pages as needed.) | | | | | | | |
| From MM/YYYY | To MM/YYYY | Employer | Position | State / Province | Postal Code | Country | Yes or No |
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| 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-financial services-related activity that is exclusively charitable, civic, religious, or fraternal, and is recognized as tax exempt.) If "Yes", provide the following details: the nature of said business; your position, title, or relationship with said business; the start date of said relationship; approximate number of hours per month devoted to said business; briefly describe your duties relating to said business. (Attach additional pages as needed.) | Yes | No |
| | | |
| 5. Disclosures Please provide complete details for all "Yes" answers. (Attach additional pages of all events and/or proceedings.) | | |
| Financial Disclosure | | |
| Yes No | | |
| Within the past ten years: Have you filed a personal bankruptcy petition or been subject of an involuntary bankruptcy petition? Based upon events that occurred while you exercised control over an organization, has said organization filed a bankruptcy petition or been subject of an involuntary bankruptcy petition? Have you been the subject of a foreclosure action? Has a bonding company ever denied, paid out on, or revoked a bond for you? 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 said organization? Do you have any unsatisfied judgements or liens against you? Are you delinquent on any court orders child support payments? | | |
| Criminal Disclosure | | |
| Yes No | | |
| Have you ever been convicted of, or pled guilty, or nolo contendere (no contest) in a domestic, foreign, or military court to any felony? Are there pending charges against you for any felony? Based upon activities that occurred while you exercised control over an organization, has said organization ever: Been convicted of, or pled guilty, or nolo contendere (no contest) in a domestic, foreign, or military court to any felony? Been charged with any felony? Have you ever been convicted of, or pled guilty, or nolo contendere (no contest) in a domestic, foreign, or military court to a misdemeanor involving financial services-related businesses; fraud, false statements, or omissions; theft or wrongful taking of property; bribery; perjury; forgery; counterfeiting; extortion; or conspiracy to commit any of these offenses? Are there pending charges against you for a misdemeanor as described above? Based upon activities that occurred while you exercised control over an organization, has said organization ever: Been convicted of, or pled guilty, or nolo contendere (no contest) in a domestic, foreign, or military court to a misdemeanor as described above? Been charged with a misdemeanor as described above? | | |
| Civil Judicial Disclosure | | |
| Yes No | | |
| Has any domestic or foreign court ever: Enjoined you in connection with any financial services-related activity? Found that you were involved in a violation of any financial services-related statute(s) or regulation(s)? Dismissed, pursuant to a settlement agreement, a financial services-related civil action brought against you by a State, Federal, or foreign financial regulatory authority? Are you named in any pending financial services-related civil action that could result in a "Yes" to the other Civil Judicial questions? | | |

5. Disclosures - Continued

| Regulatory Action Disclosure | Yes | No |
|---|-----|----|
| <p>Has any State, Federal, or foreign financial regulatory authority ever:</p> <ul style="list-style-type: none"> Found you to have made a false statement or omission or been dishonest, unfair, or unethical? Found you to have been involved in a violation of a financial services-related statute(s) or regulation(s)? Found you to have been a cause of a financial services-related business having its authorization to do business denied, suspended, revoked, or restricted? Entered an order against you in connection with a financial services-related activity? Denied, suspended, or revoked your registration or license, disciplined you, or otherwise by order, prevent you from associating with a financial services-related business or restricted your activities? Barred you from association with an entity regulated by such commission, authority, agency, or officer, or from engaging in financial services-related business? Issued a final order based on violations of any law or regulation that prohibits fraudulent, manipulative, or deceptive conduct? <p>Have you ever had an authorization to act as an attorney, accountant, or State or Federal contractor that was revoked or suspended?</p> <p>Are you now the subject of any regulatory proceeding that could result in a "Yes" to the other Regulatory Action questions?</p> | | |
| Customer Arbitration / Civil Litigation Disclosure | Yes | No |
| <p>Have you ever been named as a respondent/defendant in a financial services-related consumer-initiated arbitration or civil litigation which:</p> <ul style="list-style-type: none"> Is still pending; or Resulted in an arbitration award or civil judgement against you, regardless of amount, or that required corrective action; or Was settled for any amount? | | |
| Termination Disclosure | Yes | No |
| <p>Have you ever voluntarily resigned, been discharged, or permitted to resign after allegations were made that accused you of:</p> <ul style="list-style-type: none"> Violating statutes, regulations, rules, or industry standards of conduct? Fraud, dishonesty, theft, or the wrongful taking of property? | | |

INDIVIDUAL'S ACKNOWLEDGEMENT AND CONSENT

EXECUTION:

I, _____ (Full Name), _____ (Title/Position), am employed by or am an officer or a control person of _____ (Applicant). Applicant agrees to and represents 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 the background of the Applicant and any related individuals or entities, in accordance with all laws and regulations for purposes of making a determination on the application;
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.

On this _____ (MM/DD/YYYY), I verify that I am the named person above and that I am authorized to attest to and submit this filing on behalf of the Applicant. I solemnly swear (or affirm) under the penalty of perjury or un-sworn falsification to authorities, or similar provisions as provided by law that I have reviewed the foregoing responses, have made diligent inquiry as to their accuracy, and they are true and correct to the best of my knowledge, information, and belief.

(Signature of Applicant)

(Printed name of Applicant)

SUBSCRIBED AND SWORN to before me this _____ day of _____, 20_____.

NOTARY SEAL

(Signature of notary public)

County of: _____
Notary public state of: _____
My commission expires: _____

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.