

**BROKER-DEALER AND INVESTMENT ADVISER SURETY BOND**  
**STATE OF SOUTH CAROLINA**  
**P.O. Box 11549**  
**Columbia, SC 29211-1549**

Bond No. \_\_\_\_\_

KNOW ALL PERSONS BY THESE PRESENTS:

That, \_\_\_\_\_  
(name and address of broker-dealer or investment adviser)

Principal, having filed with the office of the South Carolina Securities Commissioner on or about the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, an application to transact business in this State as a \_\_\_\_\_  
(Designate whether Principal is Broker-Dealer or Investment Adviser)

exceed the sum of Thirty-Five Thousand Dollars (\$35,000) regardless of the

to which we hereby obligate and bind ourselves, our heirs, executors, and severally, becomes effective upon the following conditions.

al to transact business in this State as a

\_\_\_\_\_ is a Broker-Dealer or Investment Adviser)

and

mply with all applicable provisions of, and orders, rules and regulations statutes of the particular states, commonwealth or territories in which such

Principal's registration is withdrawn, terminates through non-renewal or is commissioner except as to liability for acts or omissions which occur prior to by the Surety upon 30 days written notice by registered mail to the Principal sioner in which case this Bond shall be cancelled upon expiration of said 30 missions which occur prior to the date of cancellation. Notice shall be deemed e agency of said written notice along with sufficient proof of notice to the

liability arising under this Bond unless brought within the time period as e.

having a claim under the conditions of this obligation may initiate suit in any nicipal and/or the Surety upon the Bond.

\_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

\_\_\_\_\_  
(Principal) (Corporate seal, if applicable)

\_\_\_\_\_  
(By)

\_\_\_\_\_  
(Surety) (Corporate seal, if applicable)

\_\_\_\_\_  
(By)

\_\_\_\_\_  
(Counter Signature of Agent of Surety)

**Acknowledgement of Individual**

State of \_\_\_\_\_ County of \_\_\_\_\_

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, before me personally appeared \_\_\_\_\_, to me known to be the person described in and who executed the foregoing instrument, as Principal, and acknowledged to me that he executed the same as his free act and deed.

(Notarial Seal)

\_\_\_\_\_  
Notary Public  
\_\_\_\_\_  
County  
My commission expires: \_\_\_\_\_

**Acknowledgement of Partnership**

State of \_\_\_\_\_ County of \_\_\_\_\_

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, before me personally appeared \_\_\_\_\_, to me known to be a member of the firm who executed the foregoing instrument, and he acknowledged to me that he executed the same as and for the act and deed of said firm.

(Notarial Seal)

\_\_\_\_\_  
Notary Public  
\_\_\_\_\_  
County  
My commission expires: \_\_\_\_\_

**Acknowledgement of Corporation**

State of \_\_\_\_\_ County of \_\_\_\_\_

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, before me personally came \_\_\_\_\_, and says that he is the \_\_\_\_\_ of \_\_\_\_\_ Principal heretofore named; that he executed the instrument for and in its behalf, by authority of its Board of Directors, and affixed seal thereto.

(Notarial Seal)

\_\_\_\_\_  
Notary Public  
\_\_\_\_\_  
County  
My commission expires: \_\_\_\_\_

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(Designate whether Principal is Broker-Dealer or Investment Adviser)

and \_\_\_\_\_  
(Name and address of Surety)

as Surety, a corporation organized under the laws of the State/Commonwealth/Territory of \_\_\_\_\_

\_\_\_\_\_  
(Principal)

(Corporate seal, if applicable)

\_\_\_\_\_  
(By)

\_\_\_\_\_  
(Surety)

(Corporate seal, if applicable)

\_\_\_\_\_  
(By)

\_\_\_\_\_  
(Counter Signature of Agent of Surety)

**Acknowledgement of Individual**

State of \_\_\_\_\_ County of \_\_\_\_\_

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, before me personally appeared \_\_\_\_\_,