New York State Office of the Attorney General
Investment Protection Bureau
28 Liberty St., 21st Floor
New York, NY 10005

Investment Adviser Qualification (NY-IAQ)

1. (A) Name of Individual_________________________________________________________
   (B) Individual CRD number____________________________________________________

2. (A) Name of Investment Adviser Entity___________________________________________
   (B) Investment Adviser Firm CRD number_________________________________________
   (C) Investment Adviser Firm Address__________________________________________________________________

3. Have you taken and received a passing grade within the past two (2) years on the:
   (A) Uniform Investment Adviser Law Examination (Series 65 examination)  □ Yes □ No
   (B) General Securities Representative Examination (Series 7 examination) and the Uniform Combined State Law
       Examination (Series 66 examination)  □ Yes □ No

Request for Waiver of Examination

4. Are you an individual who represents an investment adviser in doing any of the acts which makes that person an investment 
adviser as defined in subsection 11.12(f), or solicits business for an investment adviser, and who has been continuously
registered in any jurisdiction, other than New York, for a period of two (2) years prior to the date of filing registration information
pursuant to section 11.4(c)?  (The individual may have no lapse in employment as an investment adviser representative
exceeding 2 years)  Yes No

5. Have you had any regulatory actions or arbitrations in the last five (5) years?  □ Yes □ No
   If the answer is yes, attach statement of full particulars.

6. Do you hold one of the following designations?  (Check all that apply and provide documentation)
   □ Certified Financial Planner(CFP) awarded by the Certified Financial Planner Board of Standards, Inc.
   □ Chartered Financial Consultant (ChFC) awarded by the American College, Bryn Mawr, Pennsylvania.
   □ Personal Financial Specialist (PFS) awarded by the American Institute of Certified Public Accountants.
   □ Chartered Financial Analyst (CFA) awarded by the Association for Investment Management Research.
   □ Chartered Investment Counselor (CIC) awarded by the Investment Counsel Association of America, Inc.
   □ Other designation to be considered (attach an explanatory letter and documentation).

All statements contained herein are true and correct and undersigned understands that any false statement shall constitute a violation of Article 23-A of the General Business Law.

Dated:

By: ______________________________
    Signature of Individual

Sworn to before me this day of __________ 201__

Notary Public