

NAME OF PERSON REPORTING: \_\_\_\_\_  
NAME OF RELATED BROKER DEALER: \_\_\_\_\_  
Firm T.I.N.: \_\_\_\_\_

Date: \_\_\_\_\_

SEC FORM 30.1/30.1-AMD

AFFILIATED TRANSACTIONS MONITORING SHEET

☐ NEW

☐ AMENDMENTS

This amendment pertains to items: \_\_\_\_\_

Check the applicable boxes:

The person accomplishing this Form is a:

- ☐ stockholder of a Broker Dealer  
☐ director of a Broker Dealer  
☐ partner in a Broker Dealer Firm  
☐ owner of a Broker Dealer Firm  
☐ associated person of a Broker Dealer  
☐ registered salesman of a Broker Dealer  
☐ authorized clerk of a Broker Dealer

**WARNING:** Failure to keep this Form current and to file accurate supplementary information on a timely basis or otherwise to comply with the Securities Regulation Code and rules and regulations adopted thereunder may result in disciplinary, administrative, injunctive or criminal action.

**INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACTS MAY CONSTITUTE CRIMINAL VIOLATIONS.**

|                                                                                                                                                                                                                                                                                                                                                                                                         |               |            |                                                          |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|------------|----------------------------------------------------------|
| (1) LAST NAME                                                                                                                                                                                                                                                                                                                                                                                           | JR./SR., etc. | FIRST NAME | MIDDLE NAME                                              |
| (2) OTHER NAMES KNOWN BY                                                                                                                                                                                                                                                                                                                                                                                |               |            |                                                          |
| (3) CIVIL STATUS                                                                                                                                                                                                                                                                                                                                                                                        |               |            |                                                          |
| <input type="checkbox"/> single <input type="checkbox"/> married                                                                                                                                                                                                                                                                                                                                        |               |            |                                                          |
| (4) Is your spouse or relative by consanguinity or affinity within the fourth civil degree, a director of a company listed on a stock exchange, or an affiliate/subsidiary of a company listed on a stock exchange?                                                                                                                                                                                     |               |            | <input type="checkbox"/> yes <input type="checkbox"/> no |
| (5) Is your spouse or relative by consanguinity or affinity within the fourth civil degree, a president of a company listed on a stock exchange, or an affiliate/ subsidiary of a company listed on a stock exchange?                                                                                                                                                                                   |               |            | <input type="checkbox"/> yes <input type="checkbox"/> no |
| (6) Is your spouse or relative by consanguinity or affinity within the fourth civil degree, a manager of a company listed on a stock exchange, or an affiliate/subsidiary of a company listed on a stock exchange?                                                                                                                                                                                      |               |            | <input type="checkbox"/> yes <input type="checkbox"/> no |
| (7) Is your spouse or relative by consanguinity or affinity within the fourth civil degree, a treasurer of a company listed on a stock exchange, or an affiliate/subsidiary of a company listed on a stock exchange?                                                                                                                                                                                    |               |            | <input type="checkbox"/> yes <input type="checkbox"/> no |
| (8) Is your spouse or relative by consanguinity or affinity within the fourth civil degree, a comptroller of a company listed on a stock exchange, or an affiliate/subsidiary of a company listed on a stock exchange?                                                                                                                                                                                  |               |            | <input type="checkbox"/> yes <input type="checkbox"/> no |
| (9) Is your spouse or relative by consanguinity or affinity within the fourth civil degree, in an office of trust and responsibility in a company listed on a stock exchange, or an affiliate/subsidiary of a company listed on a stock exchange (e.g. as part of their responsibilities they have access to material non-public information about the company, such as in-house counsel, accountants)? |               |            | <input type="checkbox"/> yes <input type="checkbox"/> no |

(10) If you answered "yes" to any of the questions above, please state the name of the listed company/affiliate/subsidiary, and the nature of the affiliation in the space provided.

[illegible]

NAME OF REPORTING PERSON: \_\_\_\_\_

Date: \_\_\_\_\_

**EXECUTION PAGE**

THE APPLICANT MUST READ THE FOLLOWING VERY CAREFULLY.

1. I swear or affirm that I have read and understood the items and instructions on this Form and that my answers (including attachments) are true and complete to the best of my knowledge. I understand that I am subject to administrative, civil or criminal sanctions if I give false or misleading answers.
2. I agree to update this Form by causing an amendment to be filed no later than twenty four (24) hours from the date of any changes to answers previously reported. Further, I represent that, to the extent any information previously submitted is not amended, the information provided in this form is true, correct, current, accurate and complete.

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_  
Month Day Year

\_\_\_\_\_  
SIGNATURE OF PERSON REPORTING

\_\_\_\_\_  
TYPE OR PRINT NAME OF PERSON  
REPORTING

Subscribed and sworn to before me this \_\_\_\_ day of \_\_\_\_ 20\_\_\_\_, affiant exhibiting to me his/her \_\_\_\_\_  
issued in \_\_\_\_\_ at \_\_\_\_\_ on \_\_\_\_\_

Doc No. \_\_\_\_:  
Page No. \_\_\_\_:  
Book No. \_\_\_\_:  
Series of \_\_\_\_