

Name of Broker Dealer:

Date: _____

SEC REPORT 30.1/30.1-AMD

REPORT BY BROKER DEALERS ON RESTRICTED TRANSACTIONS

NEW



AMENDMENTS

This amendment pertains to

WARNING: Failure to keep this form current and to file accurate supplementary information on a timely basis, or the failure to keep accurate books and records 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) Is the person reporting on this form an associated person?

☐ yes ☐ no

- (2) If the answer to the preceding question is "no", please give the full name of the person reporting and the position occupied in the Firm.

Name: _____

Position: _____

- (3) State all securities the Broker Dealer is prohibited from dealing in, purchasing or selling, by virtue of section 30.1 of the Securities Regulation Code, in accordance with the information contained in SEC Form 30.1 (Affiliated Transactions Monitoring Sheet). If the space below is insufficient, please use another sheet of paper and attach hereto.

[illegible]

SIGNATURE OF REPORTING PERSON
OVER PRINTED NAME