

**DISCIPLINARY ACTION DISCLOSURE STATEMENT**  
**(For Trustees and Key Employees only)**

Please respond "yes" or "no" to the following questions:

- \_\_\_\_\_ Has any court in the United States or elsewhere ever entered an order against you or found you to have been involved in any illegal investment related activity?
- \_\_\_\_\_ In the past ten years, have you been convicted of or pleaded guilty or no contest to a felony or misdemeanor involving any investment related activities, fraud, theft, bribery, forgery, counterfeiting or extortion?
- \_\_\_\_\_ In the past ten years, have you been convicted of or pleaded guilty or no contest to any other felony?
- \_\_\_\_\_ Has any federal, state or foreign regulatory or self- regulatory agency ever found you to be in violation of its rules, to have made a false statement, or entered a disciplinary order against you?
- \_\_\_\_\_ Have you ever had a professional license or registration suspended, revoked or denied?
- \_\_\_\_\_ Has a bonding company ever denied, paid out on, or revoked a bond as a result of any activities in which you were involved?
- \_\_\_\_\_ Have you ever been an officer, director, or 10% or more owner of a business which has been declared bankrupt, made a compromise with creditors, or filed a petition for bankruptcy?
- \_\_\_\_\_ To your knowledge, are you now the subject of any investigation or proceeding that could result in a "yes" answer to any of the above questions?

I agree to update this form promptly if any action occurs in the future which would cause any of my answers to these questions to change.

\_\_\_\_\_  
Employee signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Printed name