

Government of the District of Columbia
Department of Insurance, Securities and Banking



District Of Columbia Adviser Affidavit

Please be advised that I, (Principal/Officer's name)
of the Investment Adviser (Adviser/Firm's name)

Certify that:

- The applicant has not transacted any business in the District of Columbia, and will not provide investment advice until registered with the Securities Bureau of the District of Columbia.
- If a firm has transacted any advisory business in the District of Columbia, provide the following information:
 - a. name, address and telephone number of each client;
 - b. date of each agreement with clients involved;
 - c. a description of service provided to each client along with the total amount of assets managed or involved and the total amount of fees received.

Signature: _____

State of

County of

Subscribed and sworn before me this _____ day of _____ 20_____.

Notary Public

My Commission Expires _____