



OUTSIDE BUSINESS ACTIVITY REQUEST FOR APPROVAL

Note: Registrants are required to provide information regarding proposed outside business activities prior to engaging in them, as required by SRO rules. This form should be completed and submitted to Compliance which will review the request and notify the registrant and the registrant's supervisor of approval or disapproval. Disclosure, but not approval, is required for uncompensated charitable activities. **Use attachments or the reverse side of this form to continue your responses.**

Name of Registrant: _____ Branch _____

Location : _____

Information To Be Provided	Responses
1. Name and address of outside business or other organization.	
2. Nature of outside business or organization (type of business or activities engaged in).	
3. Web sites connected to the business or organization.	
4. Explain your proposed involvement and responsibilities, including any title you will hold.	
5. Describe any compensation you will receive.	
6. Will you have a personal financial investment in this activity? If YES, describe.	
7. How many hours per week do you expect to devote to this activity?	
8. Will any of these hours occur during the Firm's normal business hours? If YES, explain.	
9. Provide any other information you believe would be helpful in the Firm's consideration of your request.	

Registrant's Signature: _____ **Date:** _____

For Compliance Use Only:

Date received: _____ Reviewed by: _____

- Consider whether the activity is a potential conflict of interest and/or may be viewed by customers as a Firm activity.
- Determine whether the activity is a private securities transaction subject to other requirements.
- Determine any limitations on the activity.

___ Approved ___ Disapproved Comments: _____
