**NOTICE FOR TERMINATION**

**OF A CERTIFIED INVESTMENT SOLICITOR OR**

**COMPLIANCE OFFICER OF AN INVESTMENT COMPANY**

**ADVISER / MUTUAL FUND DISTRIBUTOR**

 **COMPLIANCE OFFICER**

 **CERTIFIED INVESTMENT SOLICITOR**

INSTRUCTIONS: This form must be accomplished every time a Certified Investment Solicitor (“CIS”) or Compliance Officer (“CO”) ceases to be connected with the registered ICA or MFD and must be filed with the Commission not later than five (5) days from effectivity of termination as stated in Paragraph 6 hereof.

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| (1) LAST NAME JR./SR., etc | FIRST NAME | MIDDLE NAME |
| (2) TIN # | (2A) CERTIFICATE OF REGISTRATION NO. |
| (3) FIRM NAME |
| (4) FIRM MAIN ADDRESS STREET CITY PROVINCE ZIP |
| (5) OFFICE OF EMPLOYMENT ADDRESS STREET CITY PROVINCE ZIP |
| (6) DATE TERMINATED   \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Month/Day/Year  |
| (7) REASON FOR TERMINATION: (Check one) Voluntary Deceased \* Permitted to Resign \*Discharged \* Other \* Provide an Explanation \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| **IF THE ANSWER TO ANY OF THE FOLLOWING QUESTIONS IN ITEMS 8, 9, 10 is “YES”, ATTACH COMPLETE DETAILS OF ALL EVENTS OR PROCEEDINGS ON ATTACHED DRP FORM.** |
| (8) WHILE EMPLOYED BY OR ASSOCIATED WITH YOUR FIRM, WAS THE INDIVIDUAL: **YES NO** A. Involved in any disciplinary action by a domestic or foreign governmental body or self-regulatory organization with jurisdiction over securities related business?………............................................................................…. B. The subject of a securities or consumer-initiated complaint that: (1) alleged compensatory damages of P250,000 or more, fraud, or the wrongful taking of property? ........................……..  (2) was settled or decided against the individual for P125,000 or more, or found fraud, or the wrongful taking of property? .......................................................................................................................................................  C. Convicted of or plead guilty or nolo contendere (“no contest”) in a domestic or foreign court to: (1) A felony or misdemeanor involving: investments or an investment-related business, fraud, false statements or omissions, wrongful taking of property, or bribery, forgery, counterfeiting or extortion, or gambling? ................................................................................................................................................................  (2) Any other felony? .........................................................................................................................................................(9) Currently is, or at termination was, an individual involved in an investigation or proceeding by a domestic or  foreign governmental body or self-regulatory organization with jurisdiction over securities related businesses? ......……….… (10) Currently is, or at termination was, an individual under internal review for fraud or wrongful taking of property,  or violating securities related statutes, regulations, rules or industry standards of conduct? .......................................……….. |
| **VERIFY THE ACCURACY AND COMPLETENESS OF THE****INFORMATION CONTAINED IN AND ATTACHED TO THIS FORM****\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_/\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**  MONTH DAY YEARSIGNATURE OF APPROPRIATE SIGNATORY **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**TYPE NAME OF APPROPRIATE SIGNATORY **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**PERSON TO CONTACT FOR FURTHER INFORMATION |

**SEC FORM ICA CIS/CO-T DISCLOSURE REPORTING PAGE (DRP)**

**NOTICE OF TERMINATION**

**OF A CERTIFIED INVESTMENT SOLICITOR OR COMPLIANCE OFFICER**

**OF AN INVESTMENT COMPANY ADVISER / MUTUAL FUND DISTRIBUTOR**

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| --- |
| LAST NAME JR./SR., etc. FIRST NAME MIDDLE NAME |
| TIN # | CERTIFICATE OF REGISTRATION NO. |
|  **DISCLOSURE REPORTING PAGE (DRP)** |
| INSTRUCTIONSThis Disclosure Reporting Page (DRP) is to be used to report details of affirmative responses to items 8,9,10. \* Use a separate DRP for each event or proceeding. Complete Items 1-8 below (Item 9 is optional).\* One event may result in more than one “YES” answer to Items 8-10; if so use only one DRP to report this information.\* It is very important that clear and concise information be provided for each item on this form.\* It is not a requirement that documents be provided for each event or proceeding. Should they be provided with the DRP, they will not be accepted as disclosure in lieu of answering the questions on this form. |
| (1) This DRP relates to the following questions in Items 8-10. 8A \_\_\_\_\_\_\_ 8B(1) \_\_\_\_\_\_\_ 8B(2) \_\_\_\_\_\_\_ 8C(1) \_\_\_\_\_\_\_ 8C(2) \_\_\_\_\_\_ 9 \_\_\_\_\_\_ 10 \_\_\_\_\_\_(2) Is this DRP being filed to change or update any information regarding a previously reported event or  proceeding? YES \_\_\_\_\_\_\_ NO \_\_\_\_\_\_\_\_(3) Who initiated this event or proceeding? (Enter name of firm, regulator, court, customer, etc.)  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(4) What type of proceeding was this? (i.e. customer complaint, internal review, civil, administrative, criminal,  arbitration) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(5) On what date was the event or proceeding initiated? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(6) Identify the docket or case number of the event or proceeding (if any). \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(7) What were the allegations against the individual? (Include amounts of actual or alleged damages or claims.)  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(8) a. What is the current status of the event or proceeding? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  b. On what date was this status reached? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ c. What was the result? (Include felony/misdemeanor, termination, description of penalties, amount of fine, payment or settlement, terms of the disposition, length of suspension or restriction, etc.) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(9) You may provide a brief summary of this event or proceeding. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** **\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**MONTH DAY YEAR APPROPRIATE SIGNATORY |