

Description of Securities	No. of units now outstanding	Maximum offering price per unit ⁽¹⁾ \$	Market price per units as of	Book value per unit as of	Total value ⁽³⁾ \$
			_____ date ⁽¹⁾ \$	_____ date ⁽²⁾ \$	

- A. Total value \$ _____
- B. 5% of total value \$ _____
- C. Average net earnings (restate from Item 4) \$ _____

In order to qualify for Registration by Notification, "C" must be greater than or equal to "B".

(1) The maximum offering price or the market price on a day selected by the applicant, but must be within 30 days before the date of filing this registration statement.

(2) Book value must be of a day, selected by the applicant, within 90 days of filing this registration statement. Book value may be used only if there is neither a readily determinable market price nor a cash offering price.

(3) The total value is the product of either (1) the number of units multiplied by the higher of the maximum offering price or the market price, or (2) the number of units multiplied by the book value.

6. If the securities of the issuer or any of its predecessors (which do not have a fixed maturity or a fixed interest or dividend provision) have not been outstanding for 3 full fiscal years, complete the chart below. (Include all securities which will be outstanding if all the securities being offered or proposed to be offered are issued, whether or not they are proposed to be registered or offered in New Jersey.)

Description of Securities	No. of units to be outstanding	Maximum offering price per unit ⁽¹⁾ \$	Market price per units as of	Book value per unit as of	Total value ⁽³⁾ \$
			_____ date ⁽¹⁾ \$	_____ date ⁽²⁾ \$	

- A. Total value \$ _____
- B. 5% of total value \$ _____
- C. Average net earnings (restate from Item 4) \$ _____

In order to qualify for Registration by Notification, "C" must be greater than or equal to "B".
The registrant certifies that it has reasonable grounds to believe that it meets all of the requirements for filing pursuant to N.J.S.A. 49:3-61.2.

Date: _____

Issuer

By: _____
(Title)

New Rule, R.1990 d.241, effective May 21, 1990.
See: 21 N.J.R. 2903(a), 22 N.J.R. 1617(a).

SUBCHAPTER 11. FORMS

13:47A-11.1 Broker-dealer application (SB-1)

(a) The broker-dealer application (SB-1) follows:

N.J. Form SB-1
(Rev. 7/69)

**STATE OF NEW JERSEY
DEPARTMENT OF LAW AND PUBLIC SAFETY
DIVISION OF LAW
BUREAU OF SECURITIES
1100 Raymond Boulevard
Newark, N.J. 07102**

BROKER-DEALER APPLICATION

<p>INSTRUCTIONS: This application must be filed by a person desiring to transact business as a broker-dealer, as defined by c.93, L. 1967. The following documents must accompany the application as a part thereof.</p> <p>(1) consent to service of process executed by the applicant firm.</p> <p>(2) individual consent to service of process for each officer, director or partner who is to perform any function which would require agent registration (Form SB61).</p> <p>(3) latest certified financial statement or balance sheet prepared within 60 days of application date which is signed by a principal of applicant and notarized.</p> <p>(4) check or money order covering filing fees of \$125.00 for the broker-dealer, PLUS \$5.00 for each officer, director or partner filing form SB61 (Individual).</p> <p>APPLICATIONS WILL BE ACCEPTED ONLY IF ALL QUESTIONS ARE ANSWERED IN FULL AND EACH OF THE ABOVE DOCUMENTS ACCOMPANY THE FORM.</p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th colspan="2" style="text-align: center;">RECEIPT</th> </tr> <tr> <td style="width: 50%;">Eff. Date</td> <td style="width: 50%;"></td> </tr> <tr> <td>Rec. Number</td> <td></td> </tr> <tr> <td>Amount</td> <td style="text-align: right;">\$</td> </tr> <tr> <td>C.P.</td> <td></td> </tr> <tr> <td colspan="2" style="text-align: center;">FOR BUREAU USE ONLY</td> </tr> </table>	RECEIPT		Eff. Date		Rec. Number		Amount	\$	C.P.		FOR BUREAU USE ONLY	
RECEIPT													
Eff. Date													
Rec. Number													
Amount	\$												
C.P.													
FOR BUREAU USE ONLY													

NAME _____ with its principal officer
at _____ hereby applies for registration by the Bureau of Securities to transact securities business as a broker-dealer and submits in support thereof the following information.

1. Applicant's Branch offices in New Jersey:

Street Address	City
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2. Is the applicant a member of the New York Stock Exchange, the American Stock Exchange or other major stock exchange (specify) or of the National Association of Securities Dealers, Inc.? Yes ... No ...

3. (a) Is the applicant now licensed, registered or otherwise qualified to transact securities business in any other State, or is an application for such license or registration now pending in any other State? Yes ... No ...

If yes, list States.

(b) List the name of each officer, director, partner or principal who will act as agent for the applicant, indicating after each name the date on which he passed the Securities Qualification Examination and the name of the regulatory agency which administered the test.

4. TO BE ANSWERED BY CORPORATIONS ONLY:

(a) Is the applicant organized under the laws of the State of New Jersey and possessing a valid state charter? Yes ... No ...

OR

(b) Is the applicant a foreign corporation properly licensed to transact business in the State of New Jersey? Yes ... No ...

5. Has the applicant, any officer, director, partner or controlling person:

(a) been suspended or expelled from membership in any securities exchange, association of securities dealers or investment advisors, or been an officer, director, partner or controlling person in any organization so suspended or expelled at the time of such suspension or expulsion? Yes ... No ...

(b) Had a license, registration or authority to engage in the securities business as a dealer, broker, investment advisor or salesman issued by this state, any other state or the Securities and Exchange Commission, denied, suspended or revoked or been an officer, director, partner or controlling person of an organization at the time that organization had such license denied, suspended or revoked? Yes ... No ...

(c) been, or is the applicant or any such person now enjoined or restrained by any court or agency from engaging in or continuing any conduct or practice involving any aspect of the securities business, or been an officer, director, partner or controlling person of an organization so enjoined? Yes ... No ...

(d) been arrested or convicted of any crime, misdemeanor or disorderly persons offense. Yes ... No ...

(e) had any judgement rendered against it or him for fraud or against another person based on fraud by it or him prior to the date of this application, such fraud being connected with any aspect of the security business or any other fraud? Yes ... No ...

- (f) now pending against it or him any civil court action based on fraud, such fraud being connected with any aspect of the security business or any other fraud? Yes... No...
- (g) been subject to any disciplinary action, past or pending, by any administrative, governmental or regulatory body? Yes... No...
- (h) been charged with a violation of any statute, rule, regulation or ordinance of any municipal, administrative, regulatory or other governmental body? Yes... No...

If the answer to any of these is yes, state full particulars giving dates, nature of offense, title and location of association or public authority involved, circumstances, final disposition and any other pertinent information.

6. State the number of years the applicant has been a securities broker-dealer in this State or elsewhere. years

7. Has the applicant filed its trade name or partnership papers with the County Clerk's Office? Yes... No...

8. If the firm has been in business for one year or less give in detail the sources of all applicant's capital.

AMOUNT	SOURCE	AMOUNT	SOURCE
\$	\$
\$	\$

If any of the above amounts shown were loans, advances or gifts to the named sources furnish full details in an attached statement.

9. Give nature and location of each business in which applicant has engaged during the preceding five years.

From	Dates To	Name and Location	Nature of Business
.....

10. List in the detail shown each officer, director, general partner, limited partner or other principal of the applicant:

Name	Residence	Business Address	Capacity or Position
.....

11. Attach a complete resume of the business history for the past ten years of each officer, director, general partner, limited partner or principal supplying the following information

Employment dates From	To	Name and Address of Employer	Position Held	Reason for Leaving
.....

12. List in the detail shown each stockholder holding 10% or more of any stock outstanding; each capital contributor and any other person directly or indirectly controlling the applicant:

Name	Residence	Business Address	Association
.....

13. Will the applicant in the course of its business have custody of clients' funds or securities? Yes... No...

14. Will the applicant's business be limited to the business of dealing solely and exclusively in the purchase and sale of investment company shares? Yes... No...

15. State the net capital of the applicant as of the date of application, or as of the last computation within 60 days as defined by the Securities and Exchange Commission Rule 15c3-1.

\$

16. Will the applicant engage in the activities of an investment advisor as defined by the Uniform Securities Law (1967)? Yes ... No ...

If yes, list below all persons performing the duties of investment advising in behalf of the applicant.

Table with 2 columns: Name, Nature of Employment

If the answer to 16 is "yes", state in summary form the nature and type of applicant's investment advisory business including the type of information distributed, the frequency and area of distribution and any special features of the applicant's business. One sample copy of each type of publication issued must be submitted herewith.

Blank lines for providing summary information.

17. List in the detail shown each person who will perform any function in behalf of the applicant which will require registration as an agent under the Uniform Securities Law (1967).

Table with 3 columns: Name, Residence, Nature of Employment

18. Attach 8-1/2 x 11 sheets containing photographs of each officer, director, general partner, limited partner or principal, taken within the preceding six months.

19. STATE OF
COUNTY OF

} ss.

AFFIDAVIT

Each of the undersigned

being the individual applicant or each officer, director, general partner or limited partner of the applicant corporation or partnership, of full age, being duly sworn according to law, upon his oath deposes and says (for himself and not for the others) that: (1) he has read and understands the provisions of section 49:3-54 of the Uniform Securities Law (1967); (2) he has read all of the statements contained in this application and they are true and correct; and (3) he understands that any false or misleading statement constitutes a violation of the Uniform Securities Law (1967) (c. 93, L. 1967).

(Signature of Affiant)

(Signature of Affiant)

(Signature of Affiant)

(Signature of Affiant)

(Signature of Affiant)

(Signature of Affiant)

Sworn and subscribed to before me,

a of the State
of this
day of , 19

13:47A-11.2 Investment-advisor application (SB-2)

(a) The investment-advisor application (SB-2) follows:

N.J. Form SB-2 (Rev. 1968)

STATE OF NEW JERSEY
DEPARTMENT OF LAW AND PUBLIC SAFETY
DIVISION OF LAW
BUREAU OF SECURITIES
1100 RAYMOND BOULEVARD
NEWARK, N. J. 07102

Investment Advisor Application

INSTRUCTIONS: This application must be filed by a person or firm desiring to act as an investment advisor (as defined in section 49(g) of the Uniform Securities Law (1967), and must be accompanied by a consent to service of process executed by the applicant (Form SB6P, partnership—Form SB6C, corporation—Form SB6IA, individual). Each officer, director, general partner or limited partner of the applicant firm who is to perform the duties of investment advising within or from New Jersey must execute a consent to service of process (Form SB6IA, individual). All questions must be answered in full, and if more space is required attach sheets of 8 1/2 x 11 paper containing the additional information. Applications will be accepted only if accompanied by a check or money order payable to the Department of Law and Public Safety, Bureau of Securities, in the amount of \$50.00.

For Bureau Use Only

Eff. Date
Reg. Number
Amount \$
Page No.

Name, with its

principal office at

hereby applies for registration with the Bureau of Securities to transact business as an investment advisor (as defined in section 2(g) of the Uniform Securities Law (1967) in or from the State of New Jersey and submits in support thereof the following information:

1. Branch office in New Jersey: (Give Street and City)

2. (a) Is the applicant now licensed, registered or otherwise qualified to transact securities business in any other State, or is an application for such license or registration now pending in any other State? Yes... No... If yes, give States and indicate whether pending or effective.

(b) Have the individuals who will offer investment advise to the clients of the applicant ever passed a Securities Qualification Examination? Yes... No... If yes, give date passed and by whom the examination was given for each individual listed in question 11 herein.

3. Give nature and location of each business in which applicant has engaged during the preceding five years. Table with columns: Mo., From, Year, To, Year, Location, Business, Nature.

4. Give a complete resume of the business history for the past 5 years for each officer, general partner, limited partner, proprietor or other principal, supplying the following information: Dates of Employment—Name and address of employer—Position Held—Reason for Leaving. (Attach riders please.)

5. List in the details shown all officers, directors, general partners, limited partners, principals, stockholders (holding 10% or more of any stock outstanding), and other capital contributors or other persons directly or indirectly influencing or controlling the applicant.

Name	Residence	Business Address	Capacity
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6. State in detail the educational and business qualifications, and the experience, which constitute the basis for applicant's conducting the business of an investment advisor.

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7. Has the applicant, any officer, director, partner, principal or controlling person:
- (a) been suspended or expelled from membership in any securities exchange, association of securities dealers or investment advisors, or been an officer, director, partner or controlling person in any organization so suspended or expelled at the time of suspension or expulsion? Yes No
 - (b) had a license, registration or authority to engage in the securities business as a dealer, broker, investment advisor or salesman issued by this State, any other State or the Securities and Exchange Commission, denied, suspended or revoked or been an officer, director, partner or controlling person of an organization at the time that organization had such license denied, suspended or revoked? Yes No
 - (c) been, or is the applicant or any such person now enjoined or restrained by any court or agency from engaging in or continuing any conduct or practice involving any aspect of the securities business, or been an officer, director, partner or controlling person of any organization so enjoined? Yes No
 - (d) been arrested or convicted of any crime, misdemeanor or disorderly persons offense? Yes No
 - (e) had any judgment rendered against it or him for fraud or against another person based on fraud by it or him prior to the date of this application, such fraud being connected with any aspect of the security business or any other fraud? Yes No
 - (f) now pending against it or him any civil court action based on fraud, such fraud being connected with any aspect of the security business or any other fraud? Yes No
 - (g) been subject to any disciplinary action, past or pending, by any administrative, governmental or regulatory body? Yes No
 - (h) been charged with a violation of any statute, rule, regulation or ordinance of any municipal, administrative, regulatory or other governmental body? Yes No

If the answer to any of these is yes, state full particulars giving dates, nature of offense, title and location of association or public authority involved, circumstances, final disposition and any other pertinent information.

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8. Does the applicant: (a) Furnish "investment supervisory services" (as defined in the Regulations promulgated under c. 93, L. 1967)? Yes No

If yes, state in detail the basis of compensation, how fees will be computed, the period covered by each fee, and when fees are payable.

13. Have you:

- a. been suspended or expelled from membership in any securities exchange, association of securities dealers or investment advisors, or been an officer, director, partner or controlling person in any organization so suspended or expelled at the time of such suspension or expulsion? Yes No
- b. had a license, registration or authority to engage in the securities business as a dealer, broker, investment advisor or salesman issued by this state, any other state or the Securities and Exchange Commission, denied, suspended or revoked or been an officer, director, partner or controlling person of an organization at the time that organization had such license denied, suspended or revoked? Yes No
- c. been or are you now enjoined or restrained by any court or agency from engaging in or continuing any conduct or practice involving any aspect of the securities business, or been an officer, director, partner or controlling person of an organization so enjoined? Yes No
- d. been arrested or convicted of any crime, misdemeanor or disorderly persons offense? Yes No
- e. had any judgment rendered against you for fraud or against another person based on fraud by you prior to the date of this application, such fraud being connected with any aspect of the securities business or any other fraud? Yes No
- f. now pending against you any civil court action based on fraud, such fraud being connected with any aspect of the security business or any other fraud? Yes No
- g. been subject to any disciplinary action, past or pending, by any administrative, governmental or regulatory body? Yes No
- h. been charged with a violation of any statute, rule, regulation or ordinance of any municipal, administrative, regulatory or other governmental body? Yes No

If the answer to any of these is yes, state full particulars giving dates, nature of offense, title and location of association or public authority involved, circumstances, final disposition and any other pertinent information.

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If the answer to Item 13(d) is yes, state below any facts showing that during the ten-year period preceding this application, the person so convicted, has conducted himself in such a manner as to warrant his registration notwithstanding the criminal conviction.

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14. Indicate your complete employment record for the past five years: (Indicate periods of self-employment and unemployment).

From	To	Name	Employer	Address	Position Held
Mo. Yr.	Mo. Yr.				
	Present				

15. Indicate your complete educational history:

	Name of School and Location	Attended From		To		Did you Graduate	Degree, if any
		Mo.	Yr.	Mo.	Yr.		
High School							
College, University, or Technical School							
Other Schools or Special Courses							

STATE OF _____ }
 COUNTY OF _____ } SS:

_____, being duly sworn according to law, upon his oath
 Name
 deposes and says that he is the person described in the foregoing application; that the information given is true and correct in all respects; that he understands that any false or misleading statement constitutes a violation of the New Jersey Uniform Securities Law (1967) (c. L. 1967); that he has read and understands the provisions of section 49:3-55, Uniform Securities Law (1967); and that he has caused his fingerprints to be taken at _____
 Name of Law Enforcement Agency

 (Signature of Applicant)

Sworn and subscribed to before me,
 a _____ of the
 State of _____ this
 day of _____, 19____

13:47A-11.4 Broker-dealer, investment advisor and issuer change of status statement (SB-4)

(a) The broker-dealer, investment advisor and issuer change of status statement (SB-4) follows:

N.J. Form SB-4
 (Rev. 4/66)

STATE OF NEW JERSEY
 DEPARTMENT OF LAW AND PUBLIC SAFETY
 DIVISION OF CONSUMER AFFAIRS
 BUREAU OF SECURITIES
 1100 RAYMOND BOULEVARD, NEWARK, N. J. 07102
**BROKER-DEALER, INVESTMENT ADVISOR AND ISSUER
 CHANGE OF STATUS STATEMENT**

For Bureau Use Only

INSTRUCTIONS: This form must be filed by a registered broker-dealer, investment advisor or issuer not later than 5 days (in the case of commencement or termination of an agent's services) or 20 days (for all other changes) after the occurrence requiring this report. All items applicable must be answered. If more space is necessary attach sheets of 8 1/2 x 11 paper containing additional information. There is no filing fee required for the termination of the employment of an agent or agents. All other changes will be accepted only if accompanied by a check or money order payable to the Department of Law and Public Safety, Bureau of Securities, in the amount of \$5.00 for each change listed.

_____ having its principal office
 at _____, hereby reports to
 the Bureau of Securities the following status change(s). (Check appropriate items).

- Change of agent(s) (complete item 1)
- Change of name or address (complete item 2)
- Change of principal(s) (complete item 4)
- Arrests, convictions, etc. (complete item 3)

1. Change of Agent(s)

Name of Agent	Commenced	Date Services	Terminated
.....
.....

2. Change in firm name address branch address in New Jersey
 From: To:
 Date of Change:

3. Arrests, convictions of any crime, disciplinary actions by any administrative body, restraints, injunctions, suspensions, revocations, denials, judgments based on fraud, or any changes in original answers to Question 5 on SB-1 (Broker-Dealer Application) or Question 7 on SB-2 (Investment Advisor Application).
 Name
 Particulars (Nature of Offense, dates, circumstances and disposition)

4. Change in officers, directors or other principals

Name and Title	Change Date	Position or Title
.....
.....

All statements contained herein are true and correct. I understand that any false or misleading statement constitutes a violation of the New Jersey Uniform Securities Law (1967) (c. 93, L. 1967).

Signature of individual proprietor, partner, or principal officer of corporation, trust or association.

DATED:

13:47A-11.5 Agent change of status statement (SB-5)

(a) The agent change of status statement (SB-5) follows:

N.J. Form SB-5 (Rev. 1-66)

STATE OF NEW JERSEY
DIVISION OF LAW
BUREAU OF SECURITIES
 1100 RAYMOND BOULEVARD, NEWARK, N. J. 07102
 DEPARTMENT OF LAW AND PUBLIC SAFETY
AGENT CHANGE OF STATUS STATEMENT

For Bureau Use Only

INSTRUCTIONS: This form must be filed by the agent of a broker-dealer or issuer not later than 5 days (in the case of commencement or termination of an agent's employment) or 20 days (for all other changes) after the occurrence requiring this report. All items applicable must be answered. If more space is necessary, attach sheets of 8 1/2 x 11 paper containing additional information. There is no fee for change of employment if less than 30 days has elapsed between the date of termination and the date of commencement. All other changes will be accepted only if accompanied by a check or money order payable to the Department of Law and Public Safety, Bureau of Securities, in the amount of \$5.00 for each such change listed.

Agent's Name who resides at

hereby reports to the Bureau of Securities the following status change(s). (Check appropriate items).

- Change of employer (complete item 1)
- Change of name or home address (complete item 2)
- Arrests, convictions, etc. (complete item 3)

1. Change in employment

Name of Broker-Dealer or Issuer	Date Services	
	Commenced	Terminated
.....
.....

2. Change in name or home address

From: To:

Date of Change:

3. Arrests, convictions of any crime, disciplinary actions by any administrative body, restraints, injunctions, suspensions, revocations, denials, judgments based on fraud, or any changes in original answers to question 13 on Form SB-3.

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The undersigned states that he is the person described in the foregoing application; that the information given is true and correct in all respects; and that he understands that any false or misleading statement constitutes a violation of the New Jersey Uniform Securities Law (1967) (c. 93, L. 1967).

Signature of Agent

DATED:

13:47A-11.6 Designation of Chief of Bureau of Securities as agent for service of process (SB-6I)

(a) The designation of Chief of Bureau of Securities as agent for service of process (SB-6I) follows:

N.J. Form SB-6I (Individual)

STATE OF NEW JERSEY
DEPARTMENT OF LAW AND PUBLIC SAFETY
DIVISION OF LAW
BUREAU OF SECURITIES
1100 RAYMOND BLVD., NEWARK, N. J. 07102

DESIGNATION OF THE CHIEF OF THE BUREAU OF SECURITIES
AS AN AGENT FOR SERVICE OF PROCESS

KNOW ALL MEN BY THESE PRESENTS that pursuant to the provisions of chapter 93 of the Laws of 1967,

I, _____, of _____,
in the State of _____, desiring to act as an agent for the sale of securities within the State of New
Jersey in conformity with the laws thereof hereby irrevocably nominate, constitute and appoint the Chief of the Bureau
of Securities, Division of Law, Department of Law and Public Safety of the said State, my true and lawful attorney
to receive service of any lawful process in any non-criminal suit, action or proceeding against me which arises under
said law or any rule or order thereunder and such service shall have the same force and validity as if served personally
upon me.

IN WITNESS WHEREOF, I have hereunto set my hand and seal this _____ day of _____, 19_____.

STATE OF _____ }
COUNTY OF _____ } SS:

BE IT REMEMBERED, that on this _____ day of _____ in the year of our Lord One
Thousand Nine Hundred and _____, before me, the subscriber,
personally appeared _____
who, I am satisfied, is the person mentioned in the within Instrument, and thereupon has acknowledged that _____ signed,
sealed and delivered the same as _____ act and deed, for the uses and purposes therein expressed.

13:47A-11.7 Designation of Chief of Bureau of Securities as agent for service of process (SB-6C)

(a) The designation of Chief of Bureau of Securities as agent for service of process (SB-6C) follows:

N.J. Form SB-6C (Corporation)

STATE OF NEW JERSEY
DEPARTMENT OF LAW AND PUBLIC SAFETY
DIVISION OF LAW
BUREAU OF SECURITIES

DESIGNATION OF THE CHIEF OF THE BUREAU OF SECURITIES
AS AN AGENT FOR SERVICE OF PROCESS

KNOW ALL MEN BY THESE PRESENTS that pursuant to the provisions of chapter 93 of the Laws of 1967.

of in the State of and established under the laws of said state, desiring to act as a (Broker-Dealer) (Investment Advisor) (Issuer) within the State of New Jersey in conformity with the laws thereof hereby irrevocably nominates, constitutes and appoints the Chief of the Bureau of Securities, Division of Law, Department of Law and Public Safety of the State of New Jersey, its true and lawful attorney to receive service of any lawful process in any non-criminal suit, action or proceeding against it or its successor which arises under said law or any rule or order thereunder and such service shall have the same force and validity as if served personally upon it.

IN WITNESS WHEREOF, the aforesaid Corporation pursuant to a resolution of its Board of Directors duly passed on the day of , 19 , has caused these presents to be subscribed by its President and countersigned by its Secretary and the corporate seal of said Corporation to be affixed this day of , 19

President

STATE OF }
COUNTY OF } SS:

BE IT REMEMBERED, that on this day of , in the year of our Lord One Thousand Nine Hundred and , before me, the subscriber, personally appeared who, being by me duly sworn on his oath, does depose and make proof to my satisfaction, that he is the Secretary of the the party mentioned in the within Instrument, that is the President of said Corporation; that the execution, as well as the making of this Instrument, has been duly authorized by a proper resolution of the Board of Directors of the said Corporation; that deponent well knows the corporate seal of said Corporation and the seal affixed to said Instrument is such corporate seal and was thereto affixed, and said Instrument signed and delivered by said President, as and for his voluntary act and deed and as and for the voluntary act and deed of said Corporation, in presence of deponent, who thereupon subscribed his name thereto as witness.

Sworn and subscribed to before me,

a of the Secretary

State of this

day of , 19

13:47A-11.8 Designation of Chief of Bureau of Securities as agent for service of process (SB-6P)

(a) The designation of Chief of Bureau of Securities as agent for service of process (SB-6P) follows:

N.J. Form SB-6P (Partnership)

STATE OF NEW JERSEY
DEPARTMENT OF LAW AND PUBLIC SAFETY
DIVISION OF LAW
BUREAU OF SECURITIES

DESIGNATION OF THE CHIEF OF THE BUREAU OF SECURITIES
AS AN AGENT FOR SERVICE OF PROCESS

KNOW ALL MEN BY THESE PRESENTS that pursuant to the provisions of chapter 93 of the Laws of 1967,
a partnership located in
the of in the State of and established
under the laws in said state, desiring to act as a broker-dealer investment advisor (delete one) within the State of
New Jersey in conformity with the laws thereof, hereby irrevocably nominates, constitutes and appoints the Chief of
the Bureau of Securities, Division of Law, Department of Law and Public Safety of the State of New Jersey, its true and
lawful attorney to receive service of any lawful process in any non-criminal suit, action or proceeding against it or its
successor which arises under said law or any rule or order thereunder and such service shall have the same force and
validity as if served personally upon it.

IN WITNESS WHEREOF, the undersigned being all the partners of said partnership have hereunto set
their hands and seals this day of , 19

STATE OF }
COUNTY OF } SS:

BE IT REMEMBERED, that on this day of in the year of our Lord One Thousand
Nine Hundred and , before me, the subscriber,
personally appeared
who, I am satisfied, are the persons mentioned in the within Instrument, and thereupon have acknowledged that
signed, sealed and delivered the same as act and deed, for the uses and purposes therein expressed.

Sworn and subscribed to before me,
a of the
State of this
day of , 19

13:47A-11.9 Designation of Chief of Bureau of Securities as agent for service of process (SB-6I)

(a) The designation of Chief of Bureau of Securities as agent for service of process (SB-6I):

N.J. Form SB-61 (Individual-Advisor)

STATE OF NEW JERSEY
DEPARTMENT OF LAW AND PUBLIC SAFETY
DIVISION OF LAW
BUREAU OF SECURITIES

DESIGNATION OF THE CHIEF OF THE BUREAU OF SECURITIES
AS AN AGENT FOR SERVICE OF PROCESS

KNOW ALL MEN BY THESE PRESENTS that pursuant to the provisions of chapter 93 of the Laws of 1967,

I, _____ of _____
in the State of _____, desiring to conduct business for or on behalf of an Investment Advisor within
the State of New Jersey in conformity with the laws thereof hereby irrevocably nominate, constitute and appoint the
Chief of the Bureau of Securities, Division of Law, Department of Law and Public Safety of the said State, my true
and lawful attorney to receive service of any lawful process in a non-criminal suit, action or proceeding against me
which arises under said law or any rule or order thereunder and such service shall have the same force and validity
as if served personally upon me.

IN WITNESS WHEREOF, I have hereunto set my hand and seal this _____ day of _____, 19_____

STATE OF _____ }
COUNTY OF _____ } SS:

BE IT REMEMBERED, that on this _____ day of _____ in the year of our Lord One
Thousand Nine Hundred and _____ before me, the subscriber,
personally appeared _____
who, I am satisfied, is the person mentioned in the within Instrument, and thereupon has acknowledged that _____ signed,
sealed and delivered the same as act and deed, for the uses and purposes therein expressed.

13:47A-11.11 Investment advisor bond (SB-8)

(a) The investment advisor bond (SB-8) follows:

INVESTMENT ADVISOR BOND

under

Chapter 93, Laws of New Jersey, 1967

KNOW ALL MEN BY THESE PRESENTS, that we_____

(Insert full names of principals and give addresses)

as principals, and_____

(Insert full names of sureties and give addresses)

as sureties, are held firmly bound unto the State of New Jersey, for the use and benefit of interested persons in the penal sum of Twenty-five Thousand Dollars (\$25,000.00), lawful money of the United States of America, to be paid to the State of New Jersey for the use and benefit aforesaid or to any person aggrieved by breach of the conditions referred to herein, for which payment well and truly to be made, we bind ourselves, our heirs, executors, administrators, successors and assigns, jointly and severally, firmly by these presents. Sealed with our seals and dated this____ day of____, in the year of Our Lord, one thousand nine hundred and____.

THE CONDITION OF THIS OBLIGATION IS SUCH THAT-

WHEREAS, the above named principal has made application to the Chief of the Bureau of Securities, Division of Law, Department of Law and Public Safety of the State of New Jersey, for a registration to act as an investment advisor as defined by the New Jersey Uniform Securities Act (c. 93, L. 1967) and amendments thereto, and is required by regulations promulgated pursuant to the provisions of said act to furnish a bond in the sum above named, conditioned as herein set forth:

NOW, THEREFORE, the said principal and any and all agents and employees representing said principal shall faithfully observe the provisions of the New Jersey Uniform Securities Act and shall pay all damages occasioned to any person by reason of the failure of said principal, agents or employees truly to account for funds and securities deposited with them by

such person.

This bond is subject to the following provisions:

1. That any person who has suffered damage as a result of the misappropriation, conversion, diversion or any other misuse of funds or securities held by the principal on behalf of such person may bring an action in his own name upon this bond for the recovery of any damages sustained by him; provided, however, that no such action may be brought after the expiration of two years from and after the time of the act upon which such action is based, or two years from the time the aggrieved person knew or should have known of his cause of action, notwithstanding the death of the principal or any person connected with the principal who has incurred liability hereunder.

2. That the liability of the surety or sureties herein for any one or more claims by any one or more persons shall not exceed in the aggregate the penal sum of this bond.

3. That the surety or sureties may cancel this bond and be relieved from further liability thereunder by delivering 90 days' written notice to the Chief of the Bureau of Securities of the State of New Jersey; however, such cancellation shall not affect any liability incurred or accrued hereunder prior to the termination of the said 90-day period.

4. That the period of this bond is for two years from the date of approval of registration of the principal by the Chief of the Bureau of Securities or until cancelled prior thereto pursuant to Paragraph 3 immediately above, provided, however, that liability hereunder for any cause of action against the principal or any person connected with the principal shall not be terminated by the death of such principal or person.

5. That in the event either the principal or the surety or the principal and the surety under this bond are served with notice of any action commenced against said principal or against the surety under the bond, said principal and surety as each is served with notice of action shall respectively and immediately give written notice of the filing of such action to the Chief of the Bureau of Securities, Division of Law, Department of Law and Public Safety, at the office of the Bureau.

IN WITNESS WHEREOF, the seal and signature of the said principal is hereto affixed and the seal and the name of said surety is hereto affixed and attested by its duly authorized officers at _____, New Jersey this ____ day of _____, 19____.

Signed, sealed and delivered in the presence of

_____ (SEAL)

Principal

Surety

By _____

Countersigned in accordance with R.S. 17:22-6.15

at _____, N.J.

Licensed Agent

**ACKNOWLEDGEMENT OF PRINCIPAL
(Corporation)
(To be executed by Secretary)**

STATE OF _____ }
COUNTY OF _____ } SS:

BE IT REMEMBERED, that on this _____ day of _____, in the year of Our Lord, one thousand nine hundred and _____, before me, the subscriber, a _____ of the State of New Jersey, personally appeared _____ who, being by me duly sworn, doth depose and make proof to my satisfaction, that he well knows the corporate seal of the _____, the principal named in the foregoing bond; that the seal thereto affixed is the proper corporate seal of said company; that the same was so affixed thereto and the said bond signed and delivered by _____, who was at the date and execution thereof, the President of said company, in the presence of the said deponent, as the voluntary act and deed of the said company, and that the said deponent thereupon signed the same as subscribing witness.

Secretary

Sworn and subscribed before me
at _____
the date aforesaid.

**ACKNOWLEDGEMENT OF PRINCIPAL
(Individual)**

STATE OF NEW JERSEY }
COUNTY OF _____ } SS:

BE IT REMEMBERED, that on this _____ day of _____ A . D . 19____, before me, a _____ of the State of New Jersey personally appeared _____, who, I am satisfied, is the principal named in foregoing bond, and I having first made known to him the contents thereof, he did acknowledge that he signed, sealed and delivered the same as his voluntary act and deed.

13:47A-11.12 Issuer qualification application (SB-9)

(a) The issuer qualification application (SB-9) follows:

N.J. Form SB-9 (Rev. 1968)

STATE OF NEW JERSEY
DEPARTMENT OF LAW AND PUBLIC SAFETY
DIVISION OF LAW
BUREAU OF SECURITIES
1100 RAYMOND BOULEVARD
NEWARK, N. J. 07102

Issuer Qualification Application

Table with 2 columns: INSTRUCTIONS (This form must be filed with the consent to service of process and offering material by persons applying for the qualification of an issuer...) and For Bureau Use Only (Eff. Date, Rec. Number, Amount \$, Page No.)

- 1. Name of Issuer
2. Principal Office:
3. (a) Have you filed a registration statement with the Securities and Exchange Commission pursuant to the provisions of the Securities Act of 1933?
(b) Have you applied for an exemption under the Securities Act of 1933?
4. (a) Are you organized under the laws of the State of New Jersey and in possession of a valid State charter as a corporation?
OR
(b) Are you a foreign corporation properly licensed to transact business in the State of New Jersey?
(c) Are all corporation taxes assessed by the State of New Jersey fully paid?
5. Have you filed as a partnership with the Office of the County Clerk?
6. Has the issuer or any of its officers, directors or partners, or other controlling person or principal, been engaged in any way in the securities business in this State or elsewhere?

7. Has the Issuer; any officer; director; partner; controlling person; or principal:
- a. been suspended or expelled from membership in any securities exchange, association of securities dealers or investment advisors, or been an officer, director, partner or controlling person in any organization so suspended or expelled at the time of such suspension or expulsion? Yes ... No ...
 - b. had a license, registration or authority to engage in the securities business as a dealer, broker, investment advisor or salesman issued by this state, any other state or the Securities and Exchange Commission, denied, suspended or revoked or been an officer, director, partner or controlling person of an organization at the time that organization had such license denied, suspended or revoked? Yes ... No ...
 - c. been, or is the applicant or any such person now enjoined or restrained by any court or agency from engaging in or continuing any conduct or practice involving any aspect of the securities business, or been an officer, director, partner or controlling person of an organization so enjoined? Yes ... No ...
 - d. been arrested or convicted of any crime, misdemeanor or disorderly persons offense? Yes ... No ...
 - e. had any judgment rendered against it or him for fraud or against another person based on fraud by it or him prior to the date of this application, such fraud being connected with any aspect of the security business or any other fraud? Yes ... No ...
 - f. now pending against it or him any civil court action based on fraud, such fraud being connected with any aspect of the security business or any other fraud? Yes ... No ...
 - g. been subject to any disciplinary action, past or pending, by any administrative, governmental or regulatory body? Yes ... No ...
 - h. been charged with a violation of any statute, rule, regulation or ordinance of any municipal, administrative, regulatory or other governmental body? Yes ... No ...

If the answer to any of these is yes, state full particulars giving dates, nature of offense, title and location of association or public authority involved, circumstances, final disposition and any other pertinent information. If additional space is needed, kindly attach rider.

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8. List the name, residence and nature of employment of each individual who will transact securities business in your behalf within or from the State of New Jersey.

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THE ENCLOSED OFFERING MATERIAL CONTAINS THE INFORMATION REQUESTED BELOW ON THE PAGES INDICATED:

Information Required	Pages
1. Description of the general character, physical properties and equipment and general competitive conditions of the issuer and any significant subsidiary.
2. Nature and location of each business in which the issuer has engaged during the preceding five years.
3. List of all officers; directors, general partners, limited partners; stockholders (holding 10% or more of any stock outstanding); principals; other capital contributors or other persons directly or indirectly controlling the issuer.
4. Resume of the business history for the past five years of each officer, director, general partner, limited partner or other principal.
5. Balance sheet prepared within four (4) months of the filing date of the offering material.
6. Latest certified financial statement prepared by an accountant who is in fact independent.

STATE OF _____ }
 COUNTY OF _____ } SS:

Each of the undersigned
 being the officers, directors, general partners or limited partners of the corporation or partnership applicant, of full age and duly sworn according to law, upon his oath deposes and says (for himself and not for the others) that (1) he has read all of the statements contained in this application and they are true and correct; and (2) he understands that any false or misleading statement constitutes a violation of the Uniform Securities Law (1967)(c. 93, L. 1967).

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.....

Sworn and subscribed to before me this
 _____ day of _____, 19____

.....

13:47A-11.13 Request for withdrawal of broker-dealer registration (SB-10)

(a) The request for withdrawal of broker-dealer registration (SB-10) follows:

REQUEST FOR WITHDRAWAL OF BROKER-DEALER REGISTRATION

INSTRUCTIONS: One copy of this form signed by authorized principal and notarized must be forwarded in order to withdraw registration in good standing. Withdrawal becomes effective 30 days from the date received in this office IN PROPER FORM AND SIGNED AND NOTARIZED.

1. Name of Registrant: Registration No.
2. Principal Place of Business:
3. Does Registrant Owe Any Money or Securities to Clients? Yes ___ No ___
If Yes, furnish the following:
(a) Amount of Money Owed
(b) Market Value of Securities Owed
(c) Arrangements for Payment
(d) A statement of financial condition in such detail as will disclose the nature and amount of assets and liabilities and the net worth of the registrant as of a date within 10 days of filing.
4. Is registrant involved in, or is there presently pending any legal action or proceeding? Yes ___ No ___
If Yes, furnish full information.
5. Is registrant the subject of or is there presently pending any action before any self-regulatory body such as the NASD, a stock exchange, a state jurisdiction or the SEC? Yes ___ No ___
If so, furnish full information.
6. Furnish by rider the name and address of the person who has or will have custody or possession of registrant's books and records; as well as the address where such books and records will be located and where they may be examined by a representative of this bureau.
7. The registrant and person executing this form on behalf of said registrant represent that all statements contained in this request for withdrawal and attachments hereto are true, correct and complete statements of all required information and registrant hereby consents to make all of his books and records available for examination by authorized representatives of the State of New Jersey, Department of Law and Public Safety, Division of Law, Bureau of Securities, and to preserve such books and records for a period of three (3) years as provided in N.J.S.A. 49:3-59(b) and hereby authorizes the person having custody of such books and records to make them available.

Sworn and Subscribed to Before Me
This ___ Day ___, 19__
Name of Registrant
Signature of Authorized Principal
Title

13:47A-11.14 Renewal application (R-1)

(a) The renewal application (R-1) follows:

**STATE OF NEW JERSEY
BUREAU OF SECURITIES
1100 Raymond Blvd., Newark, N. J.
RENEWAL APPLICATION**

<p>INSTRUCTIONS: This form must be filed by the registered broker-dealer prior to December 1, 19 . All applications for renewal must be accompanied by a check or money order in the amount of \$100.00, plus \$2.00 for each officer, director or partner of the firm doing business in New Jersey.</p>	<p>RECEIPT</p> <p>Eff. Date: _____</p> <p>Reg. No.: _____</p> <p>Amount: \$ _____</p> <p>C. P. _____</p>
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1. Name: B-
2. Main Address:
3. Branch Offices Located in the State of New Jersey:

4. Any arrests, disciplinary actions by any administrative body; restraints; injunctions; suspensions; revocations; denials; judgments based on fraud; convictions of any crime; or any changes in original answers to question 5 on Form SB-1 (Broker-Dealer Application). (Attach rider if additional space is required.) Yes___ No___
5. Attach list of officers, directors or partners who will be doing business in the State of New Jersey, for whom \$2.00 fees are being submitted.
6. Will the applicant in the course of its business have custody of clients' funds or securities? Yes___ No___
7. Will the applicant deal solely in the purchase and sale of investment company shares? Yes___ No___

All statements contained herein are true and correct. I understand that any false or misleading statement constitutes a violation of the Uniform Securities Law (1967) (L. 1967, c. 93).

Signature of sole proprietor or principal
of applicant.

This form continues information currently on file; it may not be used in lieu of the Form SB-4 in reporting changes of status for a broker-dealer.