

13:47A-11.6 Designation of Chief of Bureau of Securities as agent for service of process (SB-61)

(a) The designation of Chief of Bureau of Securities as agent for service of process (SB-61) follows:

N.J. Form SB-61 (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, a corporation located in the
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-61)

(a) The designation of Chief of Bureau of Securities as agent for service of process (SB-61):

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-11.10 Broker-dealer bond (SB-7)

(a) The broker-dealer bond (SB-7) follows:

BROKER-DEALER BOND
under
CHAPTER 93, LAWS OF 1967

KNOW ALL MEN BY THESE PRESENTS, that we _____ as principals, and _____ 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 (\$ _____), 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 a broker-dealer as defined by the Uniform Securities Law (1967) (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 Law (1967) and shall pay all damages occasioned to any person by reason of a violation of section 71 of that act.

This bond is subject to the following provisions:

1. That any person who has a cause of action under section 71 of said act 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 sale upon which such action is based, notwithstanding the death of the principal or any person connected with the principal liable under section 71 of said act.

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 execution or until cancelled prior thereto pursuant to paragraph 3 immediately above, provided, however, that liability hereunder for any cause of action arising under Section 71 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 sale 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 _____

Principal (SEAL)

Surety

By _____

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

Licensed Agent

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 the 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.
