

STATE OF NEW MEXICO  
SECURITIES DIVISION  
2550 CERRILLOS ROAD  
SANTA FE, NM 87505

SECURITIES LICENSEE'S BLANKET BOND

KNOW ALL PERSONS BY THESE PRESENTS:

THAT WE \_\_\_\_\_, as principal, and the  
(Name of Licensee)

\_\_\_\_\_, as surety, are bound unto the State of New Mexico in  
(Surety)

the penal sum of \_\_\_\_\_ for the payment of which we bind ourselves firmly by  
these presents.

THE CONDITIONS OF THIS OBLIGATION ARE SUCH, that whereas the above named principal  
has applied to the Director of the Securities Division for licensure as a \_\_\_\_\_.

NOW THEREFORE, if the above named principal and those licensees employed by him and  
licensed as provided by law shall strictly comply with the duties and obligations imposed upon such  
licensees by the New Mexico Uniform Securities Act and shall satisfy any loss or damages suffered by a  
purchaser injured by a sale or contract for sale made in violation of the New Mexico Uniform Securities  
Act or of any order issued by the Director of the Securities Division under any provision of the New  
Mexico Uniform Securities Act, then this obligation shall be void, otherwise it shall remain in full force and  
effect. Provided further that any such purchaser having a cause of action shall have the right to bring an  
action on this bond except, however, no action may be maintained to enforce any liability on this bond  
unless brought within five (5) years after the sale or other act on which such action is based.

EXCEPT, THAT the surety shall have the right to terminate its obligation under this bond by filing  
written notice with the Director of the Securities Division thirty (30) days prior to the effective date of such  
termination.

PROVIDED, HOWEVER, in no event shall the liability of the surety exceed the penal sum of  
\_\_\_\_\_.

EXECUTED on the \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

BOND NO. \_\_\_\_\_

By: \_\_\_\_\_  
(Licensee – Signature)

\_\_\_\_\_  
(Title)

Persons executing for surety other than corporate  
officers must attach Power of Attorney authorizing  
them to execute bonds for surety.

\_\_\_\_\_  
(Surety – Signature)

By: Attorney in Fact \_\_\_\_\_  
(Title)

ACKNOWLEDGMENT OF INDIVIDUAL

STATE OF \_\_\_\_\_ )  
 ) ss.  
COUNTY OF \_\_\_\_\_ )

On this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_, before me personally appeared \_\_\_\_\_, to me known to be the person described in and who executed the foregoing instrument, as principal, and acknowledged to me that he/she executed the same as his/her free act and deed.

\_\_\_\_\_  
Notary Public

(Notarial seal)

My commission expires:  
\_\_\_\_\_

ACKNOWLEDGMENT OF PARTNERSHIP

STATE OF \_\_\_\_\_ )  
 ) ss.  
COUNTY OF \_\_\_\_\_ )

On this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_, before me personally appeared \_\_\_\_\_, to me known to be a member of the firm who executed the foregoing instrument and acknowledged to me that he/she executed the same as and for the act and deed of said firm.

\_\_\_\_\_  
Notary Public

(Notarial seal)

My commission expires:  
\_\_\_\_\_

ACKNOWLEDGMENT OF CORPORATION/  
LIMITED LIABILITY COMPANY

STATE OF \_\_\_\_\_ )  
 ) ss.  
COUNTY OF \_\_\_\_\_ )

On this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_, before me personally appeared \_\_\_\_\_, and said that he/she is the \_\_\_\_\_ of \_\_\_\_\_, the coporation/limited liability company heretofore named as principal in the foregoing instrument; that he/she executed the instrument for and in its behalf, by authority of its Board of Directors/Members.

\_\_\_\_\_  
Notary Public

(Notarial seal)

My commission expires:  
\_\_\_\_\_