

Form U-SB

**Uniform Surety Bond Form**

State/Commonwealth/Territory of

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*Name of Agency*

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*Address of Agency*

Bond No. \_\_\_\_\_

KNOW ALL PERSONS BY THESE PRESENTS:

That,

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*Name and address of broker-dealer or investment adviser*

as Principal, having filed with the office of the

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*Name of agency requiring bond*

on or about the \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_, an application to transact  
business in this State/Commonwealth/Territory as a

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Broker-Dealer

and

*Designate whether principal is B/D or I/A*

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as Surety, a corporation organized

*Name and address of Surety*

under the laws of the State/Commonwealth/Territory of \_\_\_\_\_ and being  
duly authorized to transact the business of indemnity and suretyship in this  
State/Commonwealth/Territory, do hereby acknowledge our indebtedness to the

State/Commonwealth/ Territory of \_\_\_\_\_ for the use and benefit of any  
person(s) having a claim under the conditions of this obligation, in the sum of \_\_\_\_\_,  
Dollars (\_\_\_\_\_), as required by \_\_\_\_\_ provided, however, that the

*Statute Requiring Bond*

aggregate liability hereunder shall not exceed the sum of \_\_\_\_\_ Dollars,

(\_\_\_\_\_) regardless of the number of claimants, and shall not be construed as individual liability.

LIABILITY for the payment of this sum, to which we hereby obligate and bind ourselves, our heirs, executors, administrators, successors and assigns, jointly and severally, becomes effective upon the following conditions:

1. Registration/Licensing of the Principal to transact business in this State/Commonwealth/Territory as a Broker-Dealer  
*Designate whether principal is a broker-dealer or investment adviser and*
2. Failure by the Principal to strictly comply with all applicable provisions of, and orders, rules and regulations issued pursuant to, the applicable securities statutes of the particular state, commonwealth or territory in which such Principal is registered.

THIS Bond shall expire at such time as the Principal's registration is withdrawn, terminates through non-renewal or issue revoked by the

\_\_\_\_\_  
*Name of Agency*

except as to liability for acts or omissions which occur prior to such time. This Bond may also be canceled by the Surety upon 30 days written notice by registered mail to the Principal and to the \_\_\_\_\_ in which case

\_\_\_\_\_  
this Bond shall  
*Name of Agency*

be considered canceled upon the expiration of 30 said days period except as to liability for acts or omissions which occur prior to the date of cancellation. Notice shall be deemed effective upon receipt by the applicable state agency of said written notice along with sufficient proof of notice to the Principal.

NO suit may be maintained to enforce any liability arising under this Bond unless brought within 1 years after discovery of the act or omission upon which liability is based.

IT is understood and agreed that any person(s) having a claim under the conditions of this obligation may initiate suit in any court of competent jurisdiction against the Principal and/or the Surety upon this Bond.

WITNESS OUR SIGNATURES, this the \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

\_\_\_\_\_  
PRINCIPAL

\_\_\_\_\_  
BY

(corporate seal, if applicable)

\_\_\_\_\_  
SURETY

\_\_\_\_\_  
Attorney-in-fact BY

\_\_\_\_\_  
Counter Signature of

\_\_\_\_\_  
Agent of Surety resident

**ACKNOWLEDGMENT OF INDIVIDUAL**

STATE OF \_\_\_\_\_)

ss.

COUNTY OF \_\_\_\_\_)

On this \_\_\_\_\_, before me personally appeared \_\_\_\_\_, to me known to be the person described who executed the foregoing instrument, as Principal, an acknowledged to me that he executed the same as his free act and deed.

(NOTARIAL SEAL)

\_\_\_\_\_  
NOTARY PUBLIC,  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
COUNTY,  
\_\_\_\_\_  
MY COMMISSION EXPIRES

**ACKNOWLEDGMENT OF PARTNERSHIP**

STATE OF \_\_\_\_\_)

ss.

COUNTY OF \_\_\_\_\_)

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

(NOTARIAL SEAL)

\_\_\_\_\_  
NOTARY PUBLIC,  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
COUNTY,  
\_\_\_\_\_  
MY COMMISSION EXPIRES

**ACKNOWLEDGMENT OF CORPORATION**

STATE OF \_\_\_\_\_)

ss.

COUNTY OF \_\_\_\_\_)

On this \_\_\_\_\_, before me personally came \_\_\_\_\_ and says that he is the \_\_\_\_\_ of \_\_\_\_\_ Principal heretofore name; that he executed the instrument for and in its behalf, by authority of its Board of Director, and affixed its seal thereto.

(NOTARIAL SEAL)

\_\_\_\_\_  
NOTARY PUBLIC,

\_\_\_\_\_

\_\_\_\_\_  
COUNTY,

\_\_\_\_\_  
MY COMMISSION EXPIRES

*NOTE: A true and correct copy of the applicable "Power of Attorney" must be attached hereto where the Bond is subscribed to by an "Attorney in Fact."*