

Oregon Department of Consumer & Business Services
Division of Finance & Corporate Securities — Securities Section

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In the matter of the licensing of a _____)
securities salesperson or investment adviser _____) **UNDERTAKING**
representative by two or more firms. _____)

Firm name: _____

and: _____
(Firm name)

and: _____
(Firm name)

and: _____
(Firm name)

desire to license: _____
(Name)

_____ - _____
(SSN) (CRD number, if any)

as a salesperson or investment adviser representative to represent the aforementioned firms in Oregon.

In recognition that the director of the Department of Consumer and Business Services requires certain undertakings by the firms, the undersigned firms undertake as follows:

1. Each consents to the licensing of the individual by each of the other undersigned firms.
2. Each assumes joint and several liability with the other firms for any act or omission of the individual in violation of Oregon securities law or of any rule or order promulgated pursuant to Oregon securities law during the period of licensing.
3. Each agrees to license the individual with the Securities Section of the Department of Consumer and Business Services and to pay the licensing fee.
4. Each acknowledges this undertaking as an addendum to all prior undertakings filed with the director of the Department of Consumer and Business Services.

The undersigned, under penalty of perjury, declare that each occupies the official position indicated and is authorized to sign this document on behalf of the firm.

Firm name: _____

By: _____
(Typed name and position)

Signature: _____ Date: _____

Address: _____

Firm name: _____

By: _____
(*Typed name and position*)

Signature: _____ Date: _____

Address: _____

Firm name: _____

By: _____
(*Typed name and position*)

Signature: _____ Date: _____

Address: _____

Firm name: _____

By: _____
(*Typed name and position*)

Signature: _____ Date: _____

Address: _____

FOR DEPARTMENT USE ONLY

Effective date: _____

Examiner: _____