

PROFESSIONAL CONDUCT STATEMENT

Answer the following questions by marking the appropriate response for each. Any matter described in the questions below must be disclosed, even if the matter is still pending.

- A. In the last two years, have you been the subject of a written complaint regarding your professional conduct in either a direct or supervisory capacity?
- No
 Yes, matter not previously disclosed to CFA Institute
 Yes, matter currently under investigation by CFA Institute
 Yes, matter previously investigated by CFA Institute; review concluded
- B. In the last two years, have you been the subject of, a defendant in, or respondent to any investigation, civil litigation, arbitration, or other action or proceeding in which your professional conduct, in either a direct or supervisory capacity, was at issue?
- No
 Yes, matter not previously disclosed to CFA Institute
 Yes, matter currently under investigation by CFA Institute
 Yes, matter previously investigated by CFA Institute; review concluded
- C. In the last two years, have you been temporarily or permanently suspended, barred, banned, or otherwise prevented from: (i) working or participating in the securities industry; (ii) trading on any securities or contract market; (iii) acting as a broker, dealer, investment advisor, or other person required to register under any law or regulation; or (iv) acting as an employee; registered representative; or affiliated person of any entity required to register or be licensed under any law or regulation (i.e., investment company, bank, etc.)?
- No
 Yes, matter not previously disclosed to CFA Institute
 Yes, matter currently under investigation by CFA Institute
 Yes, matter previously investigated by CFA Institute; review concluded
- D. In the last two years, have you ever been found to have aided, abetted, counseled, commanded, induced, or procured the violation of any securities- or commodities-related law, regulation, or rule?
- No
 Yes, matter not previously disclosed to CFA Institute
 Yes, matter currently under investigation by CFA Institute
 Yes, matter previously investigated by CFA Institute; review concluded
- E. In the last two years, have you been convicted of or pled guilty to: (i) any crime defined as a felony or punishable by more than one year in prison (regardless of the sentence actually imposed), or (ii) any crime involving moral turpitude (fraud, lying, cheating, stealing, or other dishonest conduct) or any substantially equivalent crime in any court of law?
- No
 Yes, matter not previously disclosed to CFA Institute
 Yes, matter currently under investigation by CFA Institute
 Yes, matter previously investigated by CFA Institute; review concluded

The above responses and all information provided by me on this Professional Conduct Statement are truthful, accurate, and complete, and I agree to notify NYSSA promptly of any material changes required in my responses to the foregoing questions. I acknowledge and understand that failure to comply with the CFA Institute Code of Ethics and Standards of Professional Conduct or NYSSA code of conduct is grounds for disciplinary action against me and that failure to cooperate with any CFA Institute investigation of my conduct is grounds for summary suspension.

MEMBER'S AGREEMENT

I have read, understand, and agree to comply with NYSSA's Code of Conduct. _____

By signing this document, I hereby acknowledge that I have read and understand the document in its entirety and agree with all of the above.

Signature: _____

Date: _____

Printed Name: _____

CFA Institute Identification #: _____