

ACCOUNTANTS & CONSULTANTS PROFESSIONAL LIABILITY Regulatory and SEC Investigation Supplement

Please attach any Engagement Letter or Client Contract for services with regard to the below.

1. Have **you** provided any services to any clients that are currently or that have been the subject of any SEC or other financial industry regulatory agency investigation? Yes No

a. If "YES", describe:

2. Have any of **you** recommended, analyzed, or otherwise evaluated any investment funds, mutual funds, or other investment vehicles sold or promoted by any investment advisors or Hedge Fund that is or has been under investigation by the SEC or other regulatory agency? Yes No

a. If "YES", describe:

3. Have any of **you** directly sold to **your** clients any investment funds, mutual funds, or other investment vehicles sold or promoted by any investment advisors or Hedge Fund that is or has been under investigation by the SEC or other regulatory agency? Yes No

a. If "YES", describe:

4. Are **you** aware of any investment funds **you** have recommended, analyzed, or evaluated that has invested with any investment funds, mutual funds, or other investment vehicles sold or promoted by any investment advisors or Hedge Fund that is or has been under investigation by the SEC or other regulatory agency? Yes No

a. If "YES", describe:

5. Are **you** aware of any non-personal financial planning client that has invested with any investment funds, mutual funds, or other investment vehicles sold or promoted by any investment advisors or Hedge Fund that is or has been under investigation by the SEC or other regulatory agency? Yes No

a. If "YES", describe:

6. Additional Information

Signature of Applicant: _____

Date: _____