



## INVESTMENT ADVISER SURETY BOND

KNOW ALL MEN BY THESE PRESENTS, That we \_\_\_\_\_

\_\_\_\_\_, as principal, and \_\_\_\_\_

\_\_\_\_\_ lawfully doing business in the State of Washington, as surety, are held and firmly bound unto the STATE OF WASHINGTON, for the use and benefit of any interested person, in the penal sum of \_\_\_\_\_ thousand dollars (\$ \_\_\_\_\_ ) , to be paid to the State of Washington for the use and benefit of any interested person, for which sum well and truly to be paid, said Principal and Surety bind themselves jointly and severally, firmly by these presents:

THE CONDITIONS OF THIS OBLIGATION ARE SUCH THAT,

WHEREAS, the above bound Principal is desirous of obtaining a license or renewing a license from the Administrator of Securities to carry on business as an Investment Adviser in the State of Washington, and whereas the Administrator of Securities has required the Principal to post a surety bond in lieu of compliance with the net worth rules of WAC 460-24A-170 promulgated under the Securities Act of Washington, ch. 21.20 RCW.

NOW, THEREFORE, if the said Principal shall perform and discharge all obligations imposed on the Principal as an Investment Adviser licensed under the Securities Act of Washington and account for all monies and securities coming into its hands for the use and benefit of investors, then this obligation shall be null and void; otherwise to remain in full force and effect.

PROVIDED, HOWEVER, UPON THE FOLLOWING EXPRESS CONDITIONS: That every person having a claim for relief under the Securities Act of Washington as amended, may initiate suit in any court of competent jurisdiction against the Principal and/or the surety upon this bond. No suit shall be maintained to enforce liability on this bond unless brought within three (3) years after the sale or other act upon which it is based.

PROVIDED, FURTHER that the obligation on this bond shall commence on the \_\_\_\_\_

day of \_\_\_\_\_, \_\_\_\_\_, and that the Surety shall have the right to withdraw as Surety hereon, by giving the Principal and the Administrator of Securities thirty (30) days written notice of such withdrawal, but the Surety shall not be discharged from any liability incurred or accrued prior to said date of termination.

Investment Adviser Surety Bond  
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DATED this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

\_\_\_\_\_  
Principal

By \_\_\_\_\_  
Signature and Title

\_\_\_\_\_  
Surety

By \_\_\_\_\_  
Signature and Title

(INDIVIDUAL ACKNOWLEDGMENT)

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

On this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_, before me, a Notary Public within and for the county, 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

\_\_\_\_\_  
County State

\_\_\_\_\_  
My Commission expires

(CORPORATE ACKNOWLEDGMENT)

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

On this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_, before me a Notary Public within and for said county personally appeared, \_\_\_\_\_, who being first duly sworn, says that he/she is the \_\_\_\_\_ of \_\_\_\_\_, Principal herein, and executed the foregoing instrument for and in its behalf, by authority of its Board of Directors, that the seal affixed to the foregoing instrument is the corporate seal of said corporation; and further acknowledged said instrument and the execution thereof to be the voluntary act and deed of said corporation.

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

\_\_\_\_\_  
County State

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

(SURETY ACKNOWLEDGMENT)  
(Corporate Officer)

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

On this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_, before me, a Notary Public  
within and for said county, personally appeared

\_\_\_\_\_,  
who being first duly sworn, says he/she is the  
\_\_\_\_\_, of  
\_\_\_\_\_, Surety herein, a corporation duly  
organized and existing under laws of the State of \_\_\_\_\_, and  
executed the foregoing instrument for and in its behalf, by authority of its Board of  
Directors; that the seal affixed to the foregoing instrument is the corporate seal of said  
corporation; and further acknowledged said instrument and the execution thereof to  
be the voluntary act and deed of said corporation.

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

\_\_\_\_\_  
County State

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