**Regulatory Disciplinary Questionnaire**

The information collected on this questionnaire is for regulatory purposes. Read each question carefully and in its entirety before answering Yes or No. Consult compliance with any questions.

Name: Shashanka Papolu Title: Principal Developer

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| Criminal Matters | Yes | No |
| 1. Have you, or any entity over which you had ownership or control, ever been charged, convicted of or pled guilty or nolo contendere (“no contest”) in a domestic, foreign, or military court with a felony? |  |  |
| 1. Have you, or any entity over which you had ownership or control, ever been charged, convicted of or pled guilty or nolo contendere (“no contest”) in a domestic, foreign, or military court with a misdemeanor involving: investments or an investment-related business, fraud, false statements or omissions, wrongful taking or misappropriation of property, bribery, perjury, forgery, counterfeiting, extortion, gambling, racketeering, or a conspiracy to commit any of these offenses? |  |  |
| 1. Are you, or any entity over which you had ownership or control, currently party to an action, or is there a charge pending, the resolution of which could result in a “Yes” answer to the above questions? |  |  |
| Regulatory Matters | Yes | No |
| 1. Have you, or any entity over which you had ownership or control, ever been sanctioned, disciplined, restricted in your activity, or found to have violated any rule, regulation, or statute by a federal, state, or foreign financial regulatory body; self-regulatory organization; or commodities exchange? |  |  |
| 1. Has an authorization to act as an attorney, accountant, or federal contractor granted to you ever been revoked or suspended? |  |  |
| 1. Are you, or any entity over which you had ownership or control, subject to any regulatory investigation, complaint, or proceeding that could result in a “Yes” answer to the above questions? |  |  |
| Civil Matters | Yes | No |
| 1. Has any domestic or foreign court ever enjoined you in connection with an investment-related activity; found that you were involved in a violation of any investment-related statute or regulation; or dismissed, pursuant to a settlement agreement, an investment-related civil action brought against you? |  |  |
| 1. Are you named in any pending civil action that could result in a “Yes” to any part of the above question? |  |  |
| 1. Have you ever or are you currently named as a respondent/defendant in an investment-related, consumer-initiated complaint, arbitration claim, or civil litigation that alleged one or more sales practice violations? |  |  |
|  | | |
| Employment Matters | Yes | No |
| 1. Have you ever voluntarily resigned, been discharged, or permitted to resign after allegations were made that accused you of criminal activity; of violating investment-related statutes, regulations, rules, or industry standards of conduct; or for failure to supervise another person in connection with the foregoing? |  |  |
| Bankruptcy | Yes | No |
| 1. Have you, or any entity over which you had ownership or control, ever made a compromise with creditors, filed a bankruptcy petition, been the subject of an involuntary bankruptcy petition, or been the subject of an adversary action brought by a bankruptcy trustee? |  |  |
| FINRA Form U-4 | Yes | No |
| 1. Has a bonding company ever denied, paid out on, or revoked a bond for you? |  |  |
| 1. Do you have any unsatisfied judgments or liens against you? |  |  |
| Rule 506(d) “Bad Actor” | Yes | No |
| 1. Have you filed as a registrant or issuer, or have you been named as an underwriter in, a registration statement or Regulation A offering statement filed with the SEC that, within the last five (5) years, (i) was the subject of a refusal order, stop order, or order suspending the Regulation A exemption or (ii) is currently the subject of an investigation or a proceeding to determine whether such a stop order or suspension order should be issued? |  |  |
| 1. Are you subject to (i) a United States Postal Service false representation order entered into within the last five (5) years or (ii) a temporary restraining order or preliminary injunction with respect to conduct alleged by the United States Postal Service to constitute a scheme or device for obtaining money or property through the mail by means of false representations? |  |  |
| Form 8-R Only | Yes | No |
| 1. Have you, or any entity over which you had ownership or control, ever been debarred by an agency of the United States from contracting in the United States? |  |  |
| 1. Have you failed to comply with any order to pay any futures-related civil monetary penalties, restitution amounts, disgorgement amounts, reparation amounts, or arbitration awards? |  |  |

I swear or affirm that I have read and understand the items on this form and that my answers are true and complete to the best of my knowledge. I understand that I am subject to termination of employment if I give false or misleading information.

Signature Date

Compliance Use Only

Form U-4 Form 8-R Form MA-I

Form ADV Bad Actor