



## 2013/2014 OUTSIDE BUSINESS ACTIVITIES DISCLOSURE

As a Belvedere Trading employee, you are required to provide up to date information regarding your outside business interests to comply with company policies and FINRA or other Exchange requirements.

Pursuant to FINRA Conduct Rule 3270, “No person associated with a member in any registered capacity shall be employed by, or accept compensation from, any other person as a result of any business activity, other than passive investment, outside the scope of his relationship with this broker/dealer, unless he/she has provided prompt written notice to the broker/dealer and received the necessary approval. Such notice shall be in the form required by the broker/dealer.”

Any activity other than a passive investment must be disclosed. A passive investment is one in which you have no other involvement other than to invest your money. All other investments are considered active and must be reported (such as family partnerships and real estate investments with friends or family members). This form shall be completed annually, or whenever a change occurs in your outside business activities.

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Are you currently engaged in any other business either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise? Please exclude non-investment-related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt. A separate form must be filled out for each disclosure.

**YES**

**NO** (If no, please skip to signature)

**1. Name of Business:** \_\_\_\_\_

**2. Start Date:** \_\_\_\_\_

Type: Corporation Partnership Sole Proprietorship LLC Other: \_\_\_\_\_

**2. Nature of Business:**

**Insurance**

**Real Estate** - describe below (required)

Real Estate Sales Commercial Property Other (explain):

**Mortgage Related Services**- describe below (required)

Initial Mortgages & Refinancing Reverse Mortgages Other (explain):

**Tax Services/Accounting** - describe below (required)

Business Manager Bookkeeping Other (explain):

**Professional Services/Consultant**

Attorney Pension –Related Services Notary Other (explain):

**Corporate / Non-Profit** - check all that apply

Board of Directors: \_\_\_ Profit \_\_\_ Non-Profit Charity or Non-Profit Organizations ✓ Other (explain):

**Business Owner / Retail Sales**

Describe:

**Unaffiliated (Independent) Registered Investment Adviser (RIA)** ✓ State Registered ✓ SEC Registered

**Other** - Describe below or attach separate sheet

**3. Position / Title / Relationship:**

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**4. Description of Duties:**

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**5. # Hours Spent on this Activity/Month:** \_\_\_\_\_

# Hours spent on this Activity during Trading Hours (if different): \_\_\_\_\_

**6. Did you raise capital or assist in raising capital to fund this business or any other business?** Yes No

**7. How are you compensated by this business?** Salary Commission Hourly/Flat Fee Profits Other  
(explain):

**8. Are you subject to any formal or informal agreement or arrangement requiring you to turn over or share your securities commissions to this business?** Yes No

**9. Are any of the business' employees, co-owners, or partners registered representatives of Belvedere?**  
Yes No

If yes, list their names here:

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By signing below I authorize Belvedere Trading to investigate my outside business activities and contact any entities or individuals affiliated with such outside business activities. Furthermore, I authorize these entities or individuals to release to you any information that you request about my employment, affiliation and/or activities with this organization.

I further understand that Belvedere Trading reserves the right to object to, or place conditions on, outside business activities that may constitute, in its judgment, a potential conflict of interest to my association with the firm.

I acknowledge that I have read and understand the prohibitions and limitations listed in the WSPs regarding OBAs, and understand that there may be other activities not listed that will also be prohibited.

***The foregoing is true and correct.***

Name: \_\_\_\_\_  
Print

Date: \_\_\_\_\_

Signature: \_\_\_\_\_

Received: \_\_\_\_\_