



# OUTSIDE BUSINESS ACTIVITY DISCLOSURE

Securities regulations (FINRA Rule 3270) require PCS registered representatives to disclose and receive approval of all outside business activities prior to engagement. Outside activities may include: employment, independent contractor, serving as officer, director, board member, consultant or partner of another business; an outside RIA; a general or limited partner; other securities related activities; or any other activity that may result in receipt of compensation or profit.

New activities must be disclosed and approved by PCS. Not included: charitable and civic activities unless there is compensation received, an investment account is held and controlled by the representative, or the position involves managing finances and/or investment-related decisions.

*All submissions will be reviewed and written notice of approval or denial will be supplied to you by the Compliance Department via email or Docupace. Each OBA must be submitted on a separate form.*

Representative Information		
<b>Rep Name:</b>	<b>Rep #:</b>	<b>OSJ Manager / Managing Principal:</b>
<b>Outside Activity:</b> <input type="checkbox"/> New Activity <input type="checkbox"/> Update <input type="checkbox"/> Cancellation <b>Effective Date:</b> _____		
<b>Name of Outside Business:</b>		
<b>Address of Outside Business:</b>		
<b>Business Type:</b> <input type="checkbox"/> Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> LLC <input type="checkbox"/> DBA <input type="checkbox"/> Other: _____		
<b>Business Description:</b>		
<b>Your position and duties:</b>		
<b>How will you be compensated:</b> <input type="checkbox"/> None <input type="checkbox"/> Other: _____		
<input type="checkbox"/> Salary <input type="checkbox"/> Hourly Rate <input type="checkbox"/> Fee <input type="checkbox"/> Commissions <input type="checkbox"/> Profits <input type="checkbox"/> Stock / Stock Options		<b>% of Total Income</b> _____%
Number of hours/month:	Number during trading hours:	Email address used for activity:
<ul style="list-style-type: none"> <li>Is your outside business activity securities or investment related?</li> <li>If your position is financially-related (such as treasurer of an organization), does the position involve any investment-related decisions?</li> <li>Is there check writing, trading authority, custody or control authority with your role/duties?</li> <li>Are you the registered representative on any investment accounts for the organization listed above?</li> <li>Are there referral or incentive fees associated with the activity?</li> <li>Is the firm name a DBA (fictitious name) for your financial services/investment business?</li> <li>Do you understand that you may not ask your clients, other individuals or businesses to invest in your business without prior written approval from PCS?</li> <li>Is there an internet/web presence for the activity?    Website: _____</li> <li>Are you an owner of this business/activity?    _____% ownership</li> <li>Do you intend to solicit other ownership or raise capital for this activity/entity?</li> <li>Are you subject to any formal or informal agreement or arrangement requiring you to turn over or share securities commissions to this business?</li> <li>Will the activity listed above interfere or compromise your responsibilities to the firm/customers?</li> <li>Could the activity listed above be viewed by customers or the public as part of PCS business?</li> </ul>		<input type="checkbox"/> Yes <input type="checkbox"/> No  <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No  <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No  <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No

