

## 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				
Rep Name: R	ep #:	OSJ Manager / Managing Principal:		
Outside Activity: INew Activity Upd	ate 🛛 Cancel	lation Effective Date:		
Name of Outside Business:				
Address of Outside Business:				
Business Type:               Corporation             Partnership             Sole Proprietorship             LLC             DBA             Other:				
Business Description:				
Your position and duties:				
Four position and duties:				
How will you be compensated:  None  Other:				
□ Salary □ Hourly Rate □ Fee □ Commissions □ Profits □ Stock / Stock Options % of Total Income%				
Number of hours/month: Number during trading ho	ours: Email addr	ess used for activity:		
• Is your outside business activity securities or investment			$\Box$ Yes $\Box$ No	
• If your position is financially-related (such as treasurer of an organization), does the position involve any investment-related decisions?			□ Yes □ No	
<ul> <li>Is there check writing, trading authority, custody or control authority with your role/duties?</li> </ul>			$\Box$ Yes $\Box$ No	
• Are you the registered representative on any investment accounts for the organization listed above?			$\Box$ Yes $\Box$ No	
• Are there referral or incentive fees associated with the activity?			$\Box$ Yes $\Box$ No	
• Is the firm name a DBA (fictitious name) for your financial services/investment business?			$\Box$ Yes $\Box$ No	
• 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?			$\Box$ Yes $\Box$ No	
Is there an internet/web presence for the activity? Website:			$\Box$ Yes $\Box$ No	
Are you an owner of this business/activity?% ownership				
<ul> <li>Do you intend to solicit other ownership or raise capital for this activity/entity?</li> </ul>				
<ul> <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> </ul>				
this business? Will the estivity listed shows interfere or compromise your responsibilities to the firm (mateman?)				
<ul> <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 guttemers or the public as part of BCS business?</li> </ul>			$\Box \operatorname{Yes} \Box \operatorname{No}$ $\Box \operatorname{Yes} \Box \operatorname{No}$	
• Could the activity listed above be viewed by customers or the public as part of PCS business?				

## **Representative Attestations**

- Private Client Services' acknowledgment of your OBA is conditioned upon the requirement that you provide, upon request, complete copies of your financial statements and other information about this business during the course of any compliance audits or other Compliance Department inquiry. Private Client Services does not render an opinion on the legality of any OBA.
- The undersigned registered person certifies that the foregoing is true and accurate and agrees to provide Private Client Services with complete copies of his or her financial statements and other information concerning this OBA promptly upon request.
- The undersigned registered person agrees to indemnify and hold Private Client Services, its officers, partners, employees, and associated persons harmless from and against any and all losses, liabilities, claims, damages, and expenses whatsoever (including reasonable attorney fees), arising out of any regulatory action, civil litigation, proceeding, or dispute of any kind relating in any way to the acts or omissions of the registered person while performing this OBA, without limitation as to amount or insurance coverage.
- The undersigned registered person agrees that he or she may not recommend, solicit, introduce, or in any way facilitate the investment of any individual or entity into this entity. This prohibition also applies to investments in any other business enterprise, common investment pool, or private securities transaction not pre-approved in writing by Private Client Services, including participating in discussions with potential investors.

Representative Signature:	Date:
Home Office Use:	
Comments or Notes:	
Comments of Notes:	
Select Approval:	
Compliance Approval Signature:	Date: