

INDIVIDUAL NAME:	INDIVIDUAL CRD #:
FIRM NAME:	FIRM CRD #:

DISCLOSURE REPORTING PAGES

U4 - BANKRUPTCY/SIPC/COMPROMISE WITH CREDITORS DRP

Rev. DRP (05/2009)

This Disclosure Reporting Page is an INITIAL or AMENDED response to report details for affirmative response(s) to **Question(s) 14K** on Form U4;

Check the question(s) you are responding to, regardless of whether you are answering the question(s) "yes" or amending the answer(s) to "no":

14K(1) 14K(2) 14K(3)

If events result in affirmative answers to both 14K(1) and 14K(2), details to each must be provided on separate DRPs.

1. Action Type (select appropriate item):
 Bankruptcy [Circle one: Chapter 7, Chapter 11, Chapter 13, Other]
 Compromise Declaration Liquidation Receivership Other: _____
2. Action Date (MM/DD/YYYY) (Provide date bankruptcy was filed, or date SIPC was initiated, or date of compromise with creditor): _____ Exact Explanation
 If not exact, provide explanation: _____
3. If the financial action relates to an organization over which you exercise(d) control, provide:
 A. Organization Name: _____
 B. Position, title or relationship: _____
 C. Investment-related business? Yes No
4. Court action brought in: Federal Court State Court Foreign Court Other: _____
 A. Name of Court: _____
 B. Location of Court (City or County and State or Country): _____
 C. Docket/Case#: _____
 Check this box if the Docket/Case# is your SSN, a Bank Card number, or a Personal Identification Number.
5. Is action currently pending? Yes No
6. If not pending, provide Disposition Type (select appropriate item):
 Direct Payment Procedure Discharged Dismissed Dissolved SIPA Trustee Appointed
 Satisfied/Released Other: _____
7. Disposition Date (MM/DD/YYYY): _____ Exact Explanation
 If not exact, provide explanation: _____
8. If a compromise with creditors, provide:
 A. Name of Creditor: _____
 B. Original amount owed: \$ _____
 C. Terms/Compromise reached with creditor: _____
9. If a SIPA trustee was appointed or a direct payment procedure was begun:
 A. Provide the amount paid or agreed to be paid by you: \$ _____; or
 The name of the Trustee: _____
 B. Currently Open? Yes No
 C. Date Direct Payment Initiated/Filed or Trustee Appointed (MM/DD/YYYY): _____ Exact Explanation
 If not exact, provide explanation: _____

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U4 - BANKRUPTCY/SIPC/COMPROMISE WITH CREDITORS DRP (CONTINUED)

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10. Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the action as well as the current status or final disposition. Your information must fit within the space provided.