



The Commonwealth of Massachusetts
William Francis Galvin, Secretary of the Commonwealth
Securities Division

SECTION 202(a) AFFIDAVIT FOR AN INDIVIDUAL
WAIVING AUTOMATIC AGENT REGISTRATION

This affidavit is made and filed with the Office of the Secretary of the Commonwealth, Massachusetts Securities Division for the purpose of excepting the undersigned from automatic registration as an agent pursuant to Mass. Gen. Laws ch. 110A, § 202(a).

The undersigned hereby swears or affirms that as an _____
Executive Officer, Director, Partner, Controlling Member (or person
occupying a similar status or performing similar functions)
of _____ :
Name of Broker-Dealer

I, _____, do not effect or attempt to effect purchases or sales of securities in the Commonwealth or engage in any other activity which falls within the definition of agent and, will not engage in such activity unless and until such time as I become duly registered as a agent in the Commonwealth and pay to the Commonwealth the fee required by Mass. Gen. Laws ch. 110A, § 202(c).

Signed under the penalties of perjury this _____ day of _____, 20_____

Signature of Affiant