



# Addendum B - Request for Outside Business Activities

**Instructions:** Complete this form for each outside activity and submit it with your registration. Upon review, you may be asked for additional information. Before engaging in any outside activities, you must ensure that you have Compliance Department approval.

RR Name: \_\_\_\_\_ I do not have any outside business activities

CRD#: \_\_\_\_\_

1. Name of outside business: \_\_\_\_\_
2. Is this business investment related? Yes No
3. What is the address for this activity? \_\_\_\_\_
4. What is the nature of the business? \_\_\_\_\_
5. What is your position, title and/or affiliation with this business? \_\_\_\_\_
6. What is the start date of your participation in this business? \_\_\_\_\_
7. How many hours per month do you devote to this business? \_\_\_\_\_
8. How many hours per month are during trading hours? \_\_\_\_\_
9. Please describe your duties/responsibilities as they relate to this business?  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

I certify that all answers to this questionnaire are true and correct to the best of my knowledge and that statements and answers provided accurately represent my activities. Additionally, I understand that false answers to this questionnaire may result in disciplinary action from the firm. I understand that, subsequent to completion of this questionnaire, it is my obligation to report any changes to the information contained in this questionnaire, by entering changes, and resubmitting this document.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Printed Name

Accepted

Denied

U4 Update

\_\_\_\_\_  
Signature

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

Reason for denial: \_\_\_\_\_