

**FOREIGN COMPLIANCE CERTIFICATION**  
**(FOR STATE-REGISTERED INVESTMENT ADVISERS NOT HAVING A CONNECTICUT**  
**PRINCIPAL PLACE OF BUSINESS)**

The undersigned, being duly sworn, deposes and says that the undersigned is the

\_\_\_\_\_ of \_\_\_\_\_  
(title) (applicant)

a \_\_\_\_\_, an applicant for investment adviser  
(form of business organization)

registration under the Connecticut Uniform Securities Act (hereafter, the "Applicant"); that, in such capacity the undersigned authorized on behalf of the Applicant to execute this Foreign Compliance Certification; and that the Applicant, through its execution of this Foreign Compliance Certification, represents as follows: (1) The Applicant is licensed or registered as an investment adviser in the state where it maintains its principal place of business; (2) the Applicant is, and will remain in compliance with the net capital and/or bonding requirements of the state where it maintains its principal place of business; (3) the Applicant is, and will remain in compliance with all applicable books and records requirements of the state where it maintains its principal place of business; and (4) in the event the Applicant should no longer be licensed or registered as an investment adviser in the state where it maintains its principal place of business, the Applicant recognizes that it will become subject to Connecticut capitalization requirements for investment advisers and to any supplementary books and records requirements applicable to investment advisers having their principal place of business in this state.

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
Print Name of Signatory

Subscribed and sworn to, before me this  
\_\_\_\_\_, day of \_\_\_\_\_, \_\_\_\_\_.

\_\_\_\_\_  
Notary Public

My Commission Expires:.

Rev. 1/2001