

ENTERTAINMENT AND INVESTMENT COUNSELING/ MONEY MANAGEMENT SUPPLEMENTAL APPLICATION

NΑ	(Please Print)	
1.	Provide a brief description of the nature and scope of your representation.	
2.	List all entertainment and sports clients who are public figures (Attach a supplemental sheet if necessary).	
3.	Does your firm have the authority to write or sign checks for any of your entertainment, sports or investment clients? If "YES", explain.	☐ Yes ☐ No
4.	Does any member of your firm:	
	a) Receive commissions, fees, reciprocity, or revenue for sale, promotion or recommendation of investments or tax shelters?	Yes No
	b) Organize, arrange or procure investments, real estate or tax shelters?	☐ Yes ☐ No
	c) Participate in the management of any investment partnership, limited partnership or other investment venture?	☐ Yes ☐ No
	d) Make recommendations as to the sale or purchase of specific stocks, bonds or other securities?	Yes No

number of clients, types of investments, etc.)	is below (nature of services,	
Does your firm receive any compensation from le If "Yes", explain.	nders for arranging financing?	☐ Yes ☐ No
Does your firm negotiate or arrange financing other. If "Yes", explain.	er than normal contract	☐ Yes ☐ No
Does your firm or any related or controlled entity company with which the performer has an agreem		☐ Yes ☐ No
If "Yes", identify the performer and the nature and relationship between the performer and the compa		
derstand the information submitted herein become subject to the same warranty and conditions.	s a part of my Professional Liability In	surance Application
person who knowingly and with intent to defraud nsurance or statement of claim containing any fals rmation concerning any fact material thereto, com-	se information, or conceals for the purp	
nature of Owner, Officer or Partner	Title	Date