

State of Hawaii  
**DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS**  
**Business Registration Division**  
335 Merchant Street, Room 203, Honolulu, Hawaii 96813  
(808) 586-2722

**BOND FOR INVESTMENT ADVISER IN SECURITIES**

Know all men by these presents:

That we, \_\_\_\_\_,  
(Name of applicant company)

of \_\_\_\_\_ as principal,  
(Applicant's complete principal business address)

and \_\_\_\_\_,  
(Name of surety company)

of \_\_\_\_\_, as surety,  
(Surety's complete principal business address)

are held and firmly bound unto the State of Hawaii in the sum of FIFTY THOUSAND DOLLARS (\$50,000.00), in legal money of the United States of America, for the payment of which to said State of Hawaii well and truly to be made, we do hereby bind ourselves and our respective heirs, executors, administrators, successors and assigns, jointly and severally, firmly by these presents.

Witness our hands and seals at \_\_\_\_\_,  
(City and state of principal's execution)

by said \_\_\_\_\_,  
(Name of applicant company)

this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_, and at \_\_\_\_\_,  
(Principal's execution date) (City and state of surety's execution)

by said \_\_\_\_\_,  
(Name of surety company)

this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.  
(Surety's execution date)

Whereas the above bounden principal is an issuer of a security required to be registered and proposes to sell such security in the State of Hawaii, or, is registered as a dealer in securities in the State of Hawaii, or, has filed with the Commissioner of Securities of the State of Hawaii an application for registration as a dealer in securities, or is registered as an investment adviser in securities or has filed with the Commissioner of Securities of the State of Hawaii an application as an investment adviser in securities, in accordance with the provisions of the Uniform Securities Act (2002), Chapter 485A of the Hawaii Revised Statutes.

The condition of this obligation is such that if the bounden principal and/or all of the salespersons or investment adviser representatives registered by and acting for him, shall fully and faithfully comply with the provisions of the Uniform Securities Act (2002), Chapter 485A of the Hawaii Revised Statutes, then this obligation shall be void, otherwise to be and remain in full force and effect.

And, the surety, herein may cancel this bond and be relieved of any future accruing liability hereunder by giving sixty (60) days notice in writing of its desire to do so to the Commissioner of Securities, State of Hawaii.

It is hereby stipulated and agreed that suit on this bond may be brought before a court of competent jurisdiction without a jury.

(Seal)

\_\_\_\_\_  
\_\_\_\_\_  
Principal  
By \_\_\_\_\_  
Title \_\_\_\_\_  
By \_\_\_\_\_  
Title \_\_\_\_\_

(Seal)

\_\_\_\_\_  
\_\_\_\_\_  
Surety  
By \_\_\_\_\_  
Title \_\_\_\_\_  
By \_\_\_\_\_  
Title \_\_\_\_\_

NOTE: Principal and Surety must make acknowledgment of execution on reverse side. When bond is executed and acknowledged by Surety, it must also be countersigned by resident General Agent of Surety in Hawaii.

When executed by Attorney-in-Fact of Surety, please attach form of acknowledgment on reverse side hereof.

**ACKNOWLEDGMENT FOR PRINCIPAL, IF AN INDIVIDUAL OR PARTNERSHIP**

\_\_\_\_\_)  
\_\_\_\_\_) ss.

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_ before me appeared \_\_\_\_\_ to me known to be the person described in and who executed the foregoing instrument, and acknowledged that he/she executed the same as his/her free act and deed.

(Seal)

\_\_\_\_\_  
Notary Public, State of \_\_\_\_\_  
My commission expires: \_\_\_\_\_

**ACKNOWLEDGMENT FOR PRINCIPAL, IF A CORPORATION**

\_\_\_\_\_)
\_\_\_\_\_) ss.
\_\_\_\_\_)

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_ before me appeared
\_\_\_\_\_ and
to me personally known, who being by me duly and severally sworn, did say that they are respectively the
\_\_\_\_\_ and \_\_\_\_\_
of \_\_\_\_\_, and that
the seal affixed to said instrument is the corporate seal of said corporation and that said instrument was signed and sealed in behalf of said
corporation by authority of its Board of Directors and said \_\_\_\_\_
and \_\_\_\_\_ acknowledged said instrument to be the free act and deed of said
corporation.

(Seal) \_\_\_\_\_
Notary Public, State of \_\_\_\_\_
My commission expires: \_\_\_\_\_

**ACKNOWLEDGMENT FOR SURETY**

\_\_\_\_\_)
\_\_\_\_\_) ss.
\_\_\_\_\_)

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_ before me appeared
\_\_\_\_\_ and
to me personally known, who being by me duly and severally sworn, did say that they are respectively the
\_\_\_\_\_ and \_\_\_\_\_
of \_\_\_\_\_, and that
the seal affixed to said instrument is the corporate seal of said corporation and that said instrument was signed and sealed in behalf of said
corporation by authority of its Board of Directors and said \_\_\_\_\_
and \_\_\_\_\_ acknowledged said instrument to be the free act and deed of said
corporation.

(Seal) \_\_\_\_\_
Notary Public, State of \_\_\_\_\_
My commission expires: \_\_\_\_\_