

CSCL/SEC-3006 (10/20)  
Michigan Department of Licensing and Regulatory Affairs  
Corporations, Securities & Commercial Licensing Bureau  
Securities and Audit Division  
P.O. Box 30018, Lansing, MI 48909  
Overnight Address: 2407 N. Grand River Ave, Lansing, MI 48906  
(517) 335-5237  
[www.michigan.gov/securities](http://www.michigan.gov/securities)

AUTHORITY: MCL 451.2411, R 451.4.14, R 451.4.17  
PENALTY: MCL 451.2412



**STATE OF MICHIGAN  
INVESTMENT ADVISER SURETY BOND**

IARD No.:  Bond No.:   
Effective Date of Bond:  to December 31,

**KNOW ALL MEN BY THESE PRESENTS, That we** ,  
**as principal, and**  **lawfully doing business in**  
**the State of Michigan, as surety, are held and bound to the STATE OF MICHIGAN, for the use**  
**and benefit of any interested person, in the penal sum of \$**  **, to be paid to the**  
**State of Michigan for the use and benefit of any interested person, for which sum to be paid, said**  
**Principal and Surety bind themselves jointly and severally, firmly by these presents:**

**THE CONDITIONS OF THIS OBLIGATION ARE SUCH THAT,**

**WHEREAS, the above bound Principal seeks to register or renew a registration from the**  
**Administrator (“Administrator”) of the Michigan Uniform Securities Act, 2008 PA 551, as**  
**amended, MCL 451.2101 et seq, (“Securities Act”) to conduct business as an Investment Adviser**  
**in the State of Michigan, and whereas the Administrator has required the Principal to post a**  
**surety bond in lieu of compliance with the net worth requirements prescribed by R 451.4.14 and**  
**R 451.4.17 promulgated under the Securities Act.**

**NOW, THEREFORE, if the said Principal shall perform and discharge all obligations imposed on**  
**the Principal as an Investment Adviser registered under the Securities Act of Michigan and**  
**account for all monies and securities coming into its hands for the use and benefit of investors,**  
**then this obligation shall be null and void; otherwise to remain in full force and effect.**



# **SURETY BOND CHECKLIST**

- The surety bond shall be renewed and adjusted annually on December 31, and new evidence of surety shall be filed with the Department.**
- All blanks must be completed.**
- Surety bond or rider must be payable to the State of Michigan.**
- The exact legal name of the entity should be provided.**
- Amount of bond is provided.**
- Date surety bond is provided.**
- Signature and typed name of Principal is provided.**
- Signature and typed name of Surety is provided.**
- Seal is stamped on the space provided.**
- Email the completed surety bond to LARA at [lara-cscl-securities-audit@michigan.gov](mailto:lara-cscl-securities-audit@michigan.gov). Although not required, if you wish you may also mail the original completed surety bond, please send to PO Box 30018, Lansing, MI 48909.**