

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

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.

PROVIDED, HOWEVER, UPON THE FOLLOWING EXPRESS CONDITIONS: That every person having a claim for relief under the Securities Act of Michigan as amended, may initiate suit in any court of competent jurisdiction against the Principal and/or the surety of this bond. No suit shall be maintained to enforce liability on this bond unless brought within the applicable statute of repose or limitation.

PROVIDED, FURTHER that the obligation on this bond shall commence on the **day of** , **and that the Surety shall have the right to withdraw as Surety hereon, by giving the Principal and the Administrator of Securities 30 days written notice of such withdrawal, but the Surety shall not be discharged from any liability incurred or accrued prior to said date of termination.**

DATED this **day of** , .

By

Signature of Principal

Date

Print Name

Title of Principal

By

Signature of Surety

Date

Print Name

Title of Surety

SEAL OF SURETY

(Place seal in the space above)

Email the completed surety bond to lara-cscl-securities-audit@michigan.gov.

*****The surety bond shall be renewed and adjusted annually on December 31, and new evidence of surety shall be filed with the Department.*****

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. Although not required, if you wish you may also mail the original completed surety bond, please send to PO Box 30018, Lansing, MI 48909.**