

**Surety Bond**  
**Rule 1880.2**

**BOND #**

\_\_\_\_\_ of \_\_\_\_\_  
as principal, and \_\_\_\_\_ a corporation, incorporated  
under the laws of the state Of \_\_\_\_\_ and authorized to write bonds in the  
District of Columbia, as Surety. are held and firmly bound to the District of Columbia. Department of  
Insurance and Securities Regulation of the District of Columbia for the use and benefit of any persons  
damaged by any breach of this obligation in the sum of \$ 1 0,000.00 for the payment of which sum we  
bind our selves, our heirs, executors, administrators, successors and assigns, jointly and severally by  
these presents, The conditions of the bond are as follows:

- (1) The above mentioned principal has applied or will apply for a registration as an investment adviser under the provisions of the Act.
- (2) The above named principal is required to file a surety bond in accordance with provisions of the Section 203 (g)(1)(a) of the Act (D.C. Register at 47 DCR 7847), and § 1879.2(b) thereunder,
- (3) This bond is a continuing obligation and shall cover the full period or periods of registration of the principal, including initial and renewal registrations.
- (4.) The surety shall not be obligated on this bond unless the principal fails to count for all money and securities, or fails to discharge all obligations imposed on it by the Act and rules adopted thereunder,
- (5) The liability of the surety for any one or more claims by any one or more persons shall not be cumulative and shall not exceed in the aggregate the sum of this bond.
- (6) Any persons who may have a cause of action arising under the Act. or condition (4) of this bond, may bring suit on this bond.
- (7) In the event that either the principal or the surety, or both, are served with notice of any suit on this bond, [he person served with such notice shall immediately give written notice of the filing of such action to the District Of Columbia Department of Insurance and Securities Regulation of the District of Columbia.
- (8) No suit may be maintained to enforce any liability on the bond unless brought within two (2) years after the sale or other act upon which said liability is based.
- (9) The surety or principal may cancel this bond by delivering sixty (60) days written notice to the District of Columbia Department of Insurance and Securities Regulation of the District of Columbia and to the other party(ies) to the bond. However, such cancellation shall not affect any liability incurred or accrued hereunder prior to the termination of said sixty-day period.

This bond becomes effective as of \_\_\_\_\_ and shall remain continuous until cancelled in accordance with the provisions outlined herein.

**WITNESS WHEREOF**, the parties hereto have hereunto set out hands and affixed our seals this \_\_\_\_\_

\_\_\_\_\_  
Principal

\_\_\_\_\_  
Surety

By: \_\_\_\_\_

By: \_\_\_\_\_

Title: \_\_\_\_\_

Title: \_\_\_\_\_

# INTEGRITY SURETY BOND APPLICATION

AGENCY NAME: \_\_\_\_\_ AGENCY CONTACT \_\_\_\_\_  
 AGENCY PHONE: \_\_\_\_\_ AGENCY FAX: \_\_\_\_\_ E-MAIL: \_\_\_\_\_  
 AGENCY ADDRESS: \_\_\_\_\_  
(Street) (City) (State) (Zip)

**CURRENT OR EXPIRING QUOTE WE ARE LOOKING TO BEAT?** \_\_\_\_\_

**NAME OF PREVIOUS SURETY COMPANY WRITING THE BOND?** \_\_\_\_\_

**SECTION I: BOND APPLIED FOR:**

TYPE OF BOND: \_\_\_\_\_ EFF.DATE: \_\_\_\_\_ EXP.DATE: \_\_\_\_\_  
 TYPE OF COMPANY CORP  LLC  DBA  PARTNERSHIP  AMOUNT: \_\_\_\_\_  
 OBLIGEE: \_\_\_\_\_

OBLIGEE ADDRESS: \_\_\_\_\_  
(Street) (City) (State) (Zip)

**SECTION II: GENERAL INFORMATION**

APPLICANT'S NAME: \_\_\_\_\_ SPOUSE NAME \_\_\_\_\_  
 SS#: \_\_\_\_\_ SPOUSE SS# \_\_\_\_\_ HOME PHONE: \_\_\_\_\_

RESIDENTIAL ADDRESS: \_\_\_\_\_  
(Street) (City) (State) (Zip)

BUSINESS NAME: \_\_\_\_\_

BUSINESS PHONE: \_\_\_\_\_ BUSINESS FAX: \_\_\_\_\_ Client E-mail \_\_\_\_\_

BUSINESS ADDRESS: \_\_\_\_\_  
(Street) (City) (State) (Zip)

DATE BUSINESS BEGAN UNDER CURRENT NAME: \_\_\_\_\_ BUSINESS TAX ID: \_\_\_\_\_

HAS ANY COMPANY REFUSED TO ISSUE BONDS FOR ANY PURPOSE? YES  NO  DO YOU HAVE ANY LIENS, CLAIMS, OR JUDGEMENTS AGAINST YOU? YES  NO

HAS APPLICANT EVER FAILED IN BUSINESS? YES  NO  HAS APPLICANT EVER FILED BANKRUPTCY? YES  NO

**IF YES TO ANY, PLEASE EXPLAIN ON A SEPERATE SHEET OF PAPER:**

**SECTION III: ADDITIONAL OWNERS / PARTNERS**

APPLICANT'S NAME: \_\_\_\_\_ SPOUSE NAME \_\_\_\_\_  
 SS#: \_\_\_\_\_ SPOUSE SS# \_\_\_\_\_ HOME PHONE: \_\_\_\_\_

RESIDENTIAL ADDRESS: \_\_\_\_\_  
(Street) (City) (State) (Zip)

**STATEMENT OF ASSETS & LIABILITIES AS OF \_\_\_\_\_**

ASSETS		LIABILITIES	
CASH IN BANK	\$	NOTES PAYABLE TO BANKS	\$
CASH ON HAND	\$	NOTES PAYABLE TO OTHERS	\$
STOCKS & BONDS	\$	ACCOUNTS PAYABLE	\$
ACCOUNTS RECEIVABLE	\$	FEDERAL & STATE INCOME TAX DUE	\$
NOTES RECEIVABLE	\$	ALL OTHER TAXES	\$
INVENTORY	\$	ACCRUALS, PAYROLLS, ETC.	\$
CASH VALUE OF LIFE INSURANCE	\$	DUE ON EQUIPMENT	\$
EQUIPMENT	\$	DUE ON REAL ESTATE	\$
REAL ESTATE	\$	OTHER LIABILITIES	\$
OTHER ASSETS	\$	CAPITAL STOCK (IF A CORPORATION)	\$
		SURPLUS & UNDIVIDED PROFITS	\$
<b>TOTAL ASSETS</b>	<b>\$</b>	<b>TOTAL LIABILITIES</b>	<b>\$</b>
		<b>NET WORTH</b>	<b>\$</b>
<b>NAME OF OWNERS</b>	<b>NAME &amp; TITLE OF OFFICERS</b>	<b>PERCENTAGE OF OWNERSHIP</b>	

Completion of this form constitutes permission to obtain consumer information which will be used to determine bonding eligibility This information will be held in the strictest confidence no premium financing will be accepted as premium is earned in full.

**Integrity Bonds Inc**

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**Local (480) 626-8916**

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