

## Addendum A - Renewal Business Application

<b>Publicly Traded Company (PTC)</b> <b>Please provide:</b>		
Stock Trading Symbol	Name of Exchange(s) Traded On	NAICS/SIC Code
Identify all regulatory agencies with oversight over the PTC's securities		
Reporting agencies required reports submitted on:		
Date of Registration with the Department of Regulatory Agencies (DORA)	Number	
List of Sanctions, penalties, assessments, or cease and desist orders by any securities regulatory agency, including but not limited to the United States Securities and Exchange Commission or the Canadian Securities Administrators. (Separate sheet)		
Provide the most recent list of Non-Objecting Beneficial owners possessed by the PTC (First renewal of the year only).		
If there have been any changes in the business objectives of the Publicly Traded Company, provide documentation that establishes the PTC still qualifies to hold a RMB license as referenced in section 44-10-103 (50) C.R.S.		
Documents requiring divestiture of any CBO that is prohibited by section 44-10-307 C.R.S. that has had his or her Owner's License revoked or has been found unsuitable.		
If the Applicant or RMB is required to have audited financial statements by another regulator (e.g. United States Securities and Exchange Commission or the Canadian Securities Administrators) the financial statements provided to the Division must be audited and must also include all footnotes, schedules, auditors' report(s), and auditor's opinion(s). If the financial statements are publicly available on a website (e.g. EDGAR or SEDAR), the Applicant or RMB may provide notification of the website link where the financial statements can be accessed in lieu of hardcopy submission. (See Rule 2-225(G)(4)(a))		
<b>Questions</b>		
Confirm that the PTC is current with all required filings pursuant to any applicable requirements by any securities regulatory authority including, but not limited to, the United States Securities and Exchange Commission or the Canadian Securities Administrators, and has provided notice to the Division of all non-confidential filings within 2-days of filing. <input type="checkbox"/> All Current <input type="checkbox"/> Not Current (If not, explain on a separate sheet)		
Confirm that ALL required findings of suitability have been obtained PRIOR TO the PTC becoming a CBO. If No explain on a separate sheet: <input type="checkbox"/> Yes <input type="checkbox"/> No		
Confirm that all mandatory filings for CBO's as required by any securities regulatory authority, including, but not limited to, the United States Securities and Exchange Commission or the Canadian Securities Administrators, have been filed and the MED has been provided concurrent notice with the filing. If No, explain on a separate sheet: <input type="checkbox"/> Yes <input type="checkbox"/> No		

## Addendum B - Renewal Business Application

### Qualified Private Fund (QPF)

Please provide:

Identify all regulatory agencies with oversight over the QPF's securities

Reporting agencies required reports submitted on:

Date of Registration with the Department of Regulatory Agencies (DORA)

Number

List of Sanctions, penalties, assessments, or cease and desist orders by any securities regulatory agency, including but not limited to the United States Securities and Exchange Commission or the Canadian Securities Administrators. (Separate sheet)

### Questions

Please confirm that the QPF is current with all required filings pursuant to any applicable requirements by any securities regulatory.

All Current       Not Current (If not, explain on a separate sheet)

Please confirm that ALL required findings of suitability, including all QPF managers, investment advisers, investment adviser representatives, any trustee or equivalent, and any other person that controls the investment in, or management or operations of, the RMB, have been obtained SINCE the QPF became effective:

Yes       No

## Addendum C - Renewal Application

### Qualified Institutional Investor (QII)

Please provide:

Identity(ies) of all Regulators with oversight over the QII's securities

Reporting agencies required reports submitted on:

Date of Registration with the Department of Regulatory Agencies (DORA)	Number
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List of Sanctions, penalties, assessments, or cease and desist orders by any securities regulatory agency, including but not limited to the United States Securities and Exchange Commission or the Canadian Securities Administrators. (Separate sheet)

Attach the most recent list of Passive Beneficial owners possessed by the QII.

### Questions

1. Confirm that the QII is current with all required filings pursuant to any applicable requirements by any securities regulatory.

Current

Not Current

If Not Current, explain.

2. Confirm that ALL required findings of suitability including all QII managers, investment advisers, investment adviser representatives, any trustee or equivalent, and any other person that controls the investment in, or management or operations of, the MRB have been obtained PRIOR TO the QII becoming effective

Yes  No

## Addendum D - Mobile Hospitality Business Addendum

Identify vehicle used as licensed premises			
Vehicle Make	Vehicle Model	Vehicle Year	
License Plate Number	VIN	PUC Permit Number	
1. Is the mobile premises compliant with all state and local registration and permitting requirements?			<input type="checkbox"/> Yes <input type="checkbox"/> No
<p><b>Provide the following:</b></p> <ul style="list-style-type: none"> <li>a. Documentation that the mobile licensed premises is owned or leased by the Marijuana Hospitality Business.</li> <li>b. The automatic Vehicle Identification Tag (if applicable).</li> <li>c. A copy of a valid permit issued by the Public Utilities Commission (PUC) to the licensed hospitality business.</li> </ul>			
<p><b>By signing below, you affirm that the mobile licensed premises has or will have the following prior to operation:</b></p> <ul style="list-style-type: none"> <li>a. A global position system for tracking of the mobile licensed premises.</li> <li>b. Written standard operating procedures that address the logging of the route(s).</li> <li>c. Video surveillance inside of the licensed premises, including entry and exit points to the mobile licensed premises and the driver's area of the vehicle.</li> <li>d. Proper ventilation within the vehicle, which includes, if marijuana is smoked or vaped in the licensed premises, that air is not circulated into the driver's area of the licensed premises.</li> <li>e. Policies and procedures to ensure that no Regulated Marijuana is possessed or consumed in the area designated to seat the driver and front seat passenger in the licensed premises.</li> <li>f. Methods to ensure consumption activity is not visible outside the vehicle.</li> <li>g. Policies, procedures or other measures to ensure that consumers are prohibited from entering the driver's area of the mobile licensed premises.</li> <li>h. The Marijuana Hospitality Business license is displayed on the dashboard of the mobile licensed premises.</li> </ul>			
Last Name	First Name	Middle Name	
Signature			Date (MMDDYYYY)