

## 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

<b>Qualified Private Fund (QPF)</b> <b>Please provide:</b>	
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)	
<b>Questions</b>	
Please confirm that the QPF is current with all required filings pursuant to any applicable requirements by any securities regulatory.	
<input type="checkbox"/> All Current <input type="checkbox"/> 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:	
<input type="checkbox"/> Yes <input type="checkbox"/> 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

