



Certification of Office Personnel

Registered Reps are required to disclose all office personnel/staff members that they have working for them as well as when any personnel/staff members employment is terminated by completing the table below:

This is an initial report

I have new personnel to report

I have personnel to remove

I have no office personnel

I have a change in work capacity for previously reported personnel

Personnel Name	Work Capacity (title, jobs, duties, etc)	New hire?	Already Fingerprinted?

If you cannot certify the truth and accuracy of any item listed above, please attach a detailed written explanation.

I verify that the statements made in this certification are true and correct. I understand that false statements herein are made subject to the criminal penalties of 18Pa. C.S. 4904 relating to unsworn falsification.

Registered Representative's Signature/Date

Compliance Initials/Date