

**Oregon Department of Consumer and Business Services
Division of Financial Regulation — Securities Section**

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dfr.oregon.gov



Bond No.: _____

SURETY BOND
(ORS 59.175(4))

Principal: _____

has applied to the Securities Section of the Oregon Department of Consumer and Business Services, Division of Financial Regulation, for a license as an Oregon-based state investment adviser under ORS Chapter 59 and is required by ORS 59.175 to furnish a bond in the sum of \$10,000, U.S. legal tender.

Surety: _____

is a corporation authorized by the insurance commissioner to transact insurance in the State of Oregon and is obligated to pay the sum of \$10,000 to the State of Oregon for the use of said state and any person who has a cause of action against the principal.

If the principal and its agents and employees comply with the provisions of Oregon Securities Law, this obligation shall be void. If the principal or its agents or employees violate any provisions of Oregon Securities Law and fail to pay all damages suffered by any person due to violation of Oregon Securities Law, the surety is obligated to pay those damages suffered as a result of the violations up to \$10,000.

This bond becomes effective on _____ and shall remain in force until the Securities Section of the Department of Consumer and Business Services, Division of Financial Regulation, releases the surety from liability, or until the surety cancels this bond. The surety may cancel this bond and be relieved of further liability hereunder by giving 30 days' written notice to the principal and to the Securities Section of the Department of Consumer and Business Services, Division of Financial Regulation.

This bond shall be a continuing obligation, and the liability of the surety for the aggregate of any and all claims that may arise shall not exceed \$10,000.

This surety and its heirs, personal representatives, successors, and assigns, and the principal and its heirs, personal representatives, successors, and assigns bind themselves, jointly and severally, to the State of Oregon by this agreement.

Principal: _____

Address: _____

City: _____ State: _____ ZIP: _____

By (*Typed name*): _____

Signature: _____

Date: _____

Surety: _____

Address: _____

City: _____ State: _____ ZIP: _____

By (*Attorney in fact/registered agent — typed name*): _____

Signature: _____

Date: _____

