**Section 5430.APPENDIX F Illinois or NAIC Biographical Affidavit**

ILLINOIS BIOGRAPHICAL AFFIDAVIT

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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| Full name and address of company (do not use group name) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| In connection with the above-named company, I herewith make representations and supply information about myself as set forth in this affidavit. (Attach addendum or separate sheet if space is insufficient to answer any question fully.) If answer is "No" or "None", so state. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 1. | Affiant's full name (initials not acceptable) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2a. | Have you ever had your name changed? | | | | | | | | | | | | | | | | | | | | Yes  No | | | | | | | If yes, give the reason for the change. | | | | | | | | | | | | | | | |
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| 2b. | Give other names used at any time | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 3. | Affiant's Social Security # | | | | | | | | | | | | | | | | | | | | | | | | 4. Date and place of birth | | | | | | | | | | | | | | | | | | |
| 5. | Affiant's business address | | | | | | | | | | | | | | | | | | | | | | | | | | | | Business Telephone # | | | | | | | | | | | | | | |
| 6. List your residences for the last 10 years starting with your current address, giving: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Date | | | | | | | | | | | | | | Address | | | | | | | | | | | | | City and State | | | | | | | | | | | | | | | | |
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| 7. | Education: List dates, names, locations and degrees | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|  | College: | | | | | | | | | | |  | | | | | | | | | | | | | | | | | | | | | | | | | | | | |  | | |
|  | Graduate Studies: | | | | | | | | | | | | |  | | | | | | | | | | | | | | | | | | | | | | | | | | |  | | |
|  | Others: | | | | | | | | | |  | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |  | | |
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| 8. | List memberships in professional societies and associations | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 9. | Present or proposed positions with the applicant company | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 10. | List complete employment record (up to and including present jobs, positions, directorates or officerships) for the past 20 years, giving: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Dates | | | | | | | | | | | | | | | Employer and Address | | | | | | | | | | | | | | | | | Title | | | | | | | | | | | |
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| 11. | May present employer be contacted?  Yes  No  May former employers be contacted?  Yes  No | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 12a. | Have you ever been in a position that required a fidelity bond?  Yes  No  If any claims were made on the bond, give details. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| 12b. | Have you ever been denied an individual or position schedule fidelity bond, or had a bond cancelled | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| or revoked?  Yes  No If yes, give details. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| 13. | List any professional, occupational, and vocational licenses issued by any public or governmental licensing agency or regulatory authority that you presently hold or have held in the past (state date, license issued, issuer of license, date terminated, reasons for termination). | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| 14. | During the last 10 years, have you ever been refused a professional, occupational or vocational license by any public or governmental licensing agency or regulatory authority, or has any such license held by you ever been suspended or revoked?  Yes  No If yes, give details. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| 15. | List any administrators, insurers or HMOs in which you control directly or indirectly or own legally or beneficially 10% or more of the outstanding stock (in voting power). | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| If any of the stock is pledged or hypothecated in any way, give details. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |  | | | | | |
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| 16. | Will you or members of your immediate family subscribe to or own, beneficially or of record, shares of stock of the applicant administrator or its affiliates?  Yes  No  If any of the shares of stock are pledged or hypothecated in any way, give details. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| 17. | Have you ever been adjudged bankrupt?  Yes  No | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 18. | Have you ever been convicted or had a sentence imposed or suspended or had pronouncement of a sentence suspended or been pardoned for conviction of or pleaded guilty or nolo contendere to any information or an indictment charging any felony or charging a misdemeanor involving embezzlement, theft, larceny, or mail fraud, or charging a violation of any corporate securities statute or any insurance law, or have you been the subject of any disciplinary proceedings of any federal or state regulatory agency?  Yes  No If yes, give details. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| 19. | Has any company been so charged, allegedly, as a result of any action or conduct on your part? | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |  | | | | | |
|  | Yes  No If yes, give details. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |  | | | | | |
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| 20. | | Have you ever been an officer, director, trustee, investment committee member, key employee, or controlling stockholder of any insurer, HMO or administrator that, while you occupied any such position or capacity with respect to it, became insolvent or was placed under supervision or in receivership, rehabilitation, liquidation or conservatorship:  Yes  No | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 21. | | Has the certificate of authority or license to do business of any insurance company or registration of any administrator of which you were an officer or director or key management person ever been suspended, revoked or denied while you occupied that position?  Yes  No If yes, give details. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| **Declaration** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Dated and signed this | | | | | | | | | | | | |  | | | | day of | | |  | | | | | | | | | | at |  | | | | | | | | | | | |  |
| I hereby certify under penalty of perjury that I am acting on my own behalf and that the foregoing statements are true and correct to the best of my knowledge and belief. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| State of | | | | | | | | | |  | | | | | | | | |  | | | | | | | | | | | | | | | | | | | | | | | | |
| County of | | | | | | | | | |  | | | | | | | | |  | | | | | | | | | | | | | | | | | | | | | | | | |
| Personally appeared before me the above named | | | | | | | | | | | | | | | | | | | | | |  | | | | | | | | | | | | | | | | | | | |  | |
| personally known to me who being duly sworn deposes and says that he or she executed the above instrument  and that the statements and answers contained in that instrument are true and correct to the best of his or her knowledge and belief. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Subscribed and sworn to before me this | | | | | | | | | | | | | | | | | |  | | | | | day of | | |  | | | | | | | 20 |  |  | | | | | | | | |
| (SEAL) | | | | | | | | | | | | | | | | | |  | | | | | | | | | | | | | | | | | |  | | | | | | | |
| (Notary Public) | | | | | | | | | | | | | | | | | | |  | | | | | | |
| My commission expires: | | | | | | | | | | | | | | | |  | | | | | | | |  | | | | | | | | | | | | | | | | | | | |
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| Important Notice: Disclosure of this information is required under Illinois Department of Insurance Rules. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

NAIC BIOGRAPHICAL AFFIDAVIT

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| --- | --- | --- | --- | --- |
| Applicant Name: | | |  | |
| NAIC No: | |  | |  |
| FEIN: |  | | |  |

To the extent permitted by law, this affidavit will be kept confidential by the state insurance regulatory authority.

(Print or Type)

Full name, address and telephone number of the present or proposed entity under which this biographical statement is being required. (Do Not Use Group Names)

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In connection with the above-named entity, I herewith make representations and supply information about myself as hereinafter set forth. (Attach addendum or separate sheet if space hereon is insufficient to answer any question fully.) IF ANSWER IS "NO" OR "NONE", SO STATE.

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| 1. | | a. | Affiant's Full Name (Initials Not Acceptable). | | | | | | | |  | | | | |
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|  | | b. | Maiden Name (if applicable). | | | | | |  | | | | | | |
|  | | | | | | | | | | | | | | | |
| 2. | | a. | Have you ever had your name changed?  If yes, give the reason for the change and provide the full names. | | | | | | | | | | | | |
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|  | | b. | Other names used at any time (including aliases). | | | | | | | | | | | | |
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| 3. | | a. | Are you a citizen of the United States? | | | | | | |  | | | | | |
|  | | b. | Are you a citizen of any other country? If so, what country? | | | | | | | | | | |  | |
| 4. | | Affiant's Occupation or Profession. | | | | | |  | | | | | | | |
| 5. | | Affiant's business address. | | | | |  | | | | | | | | |
|  | | Business telephone. | | |  | | | | | | | |  | | |
| 6. | | Education and Training: | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | |
| College/University | | | | | | City/State | | | | | | Dates Attended (MM/YY) | | | Degree Obtained |
|  | | | | | | | | | | | | | | |

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| Graduate Studies: | |  | |  |  | |  | |
|  | | | | | | | | |
| College/University | | | City/State | | | Dates Attended (MM/YY) | | Degree Obtained |
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| Other Training: | | |  |  | |  | |
|  | | |  |  | |  | |
| Name | | City/State | | | Dates Attended (MM/YY) | | Degree/Certification Obtained |
|  | | | | | | |

(Note: If affiant attended a foreign school, please provide full address and telephone number of the college/university. If applicable, provide the foreign student Identification Number in the space provided in the Biographical Affidavit Supplemental Information.)

7. List of memberships in professional societies and associations.

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| --- | --- | --- | --- |
| Name of  Society/Association | Contact Name | Address of  Society/Association | Telephone Number  of Society/Association |
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| 8. | Present or proposed position with the applicant entity. |  |

9. List complete employment record for the past 20 years, whether compensated or otherwise (up to and including present jobs, positions, partnerships, owner of an entity, administrator, manager, operator, directorates or officerships). Please list the most recent first. Attach additional pages if the space provided is insufficient. It is only necessary to provide telephone numbers and supervisory information for the past 10 years.

Beginning/Ending

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Dates (MM/YY) | |  | | | - |  | | Employer's Name | | | |  | | | | |
| Address |  | | | | | | | | City | |  | | | | State/Province |  |
| Country |  | | | | | | Postal Code | | |  | | | Phone |  | | |
| Offices/Positions Held | | | |  | | | | | | | | | | | | |
| Supervisor/Contact | | |  | | | | | | | | | | | | | |

Beginning/Ending

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Dates (MM/YY) | |  | | | - |  | | Employer's Name | | | |  | | | | |
| Address |  | | | | | | | | City | |  | | | | State/Province |  |
| Country |  | | | | | | Postal Code | | |  | | | Phone |  | | |
| Offices/Positions Held | | | |  | | | | | | | | | | | | |
| Supervisor/Contact | | |  | | | | | | | | | | | | | |

Beginning/Ending

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Dates (MM/YY) | |  | | | - |  | | Employer's Name | | | |  | | | | |
| Address |  | | | | | | | | City | |  | | | | State/Province |  |
| Country |  | | | | | | Postal Code | | |  | | | Phone |  | | |
| Offices/Positions Held | | | |  | | | | | | | | | | | | |
| Supervisor/Contact | | |  | | | | | | | | | | | | | |

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| 10. | | a. | | | | Have you ever been in a position which required a fidelity bond? | | | |  |  |
|  | | | | | If any claims were made on the bond, give details. | | | |  | | |
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|  | b. | | | | | | Have you ever been denied an individual or position schedule fidelity bond, or had a bond canceled or revoked? If yes, give details. | | | | |
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| 11. |  | | List any professional, occupational and vocational licenses (including licenses to sell securities) issued by any public or governmental licensing agency or regulatory authority or licensing authority that you presently hold or have held in the past. For any non-insurance regulatory issuer, identify and provide the name, address and telephone number of the licensing authority or regulatory body having jurisdiction over the licenses issued. Attach additional pages if the space provided is insufficient. | | | | | | | | |
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| Organization/Issuer of License | | | | |  | | | | | | | | |
| Address |  | | | | | | | | | City |  | | |
| State/Province | | |  | | | | | | Country | |  | | |
| Postal Code | |  | | | |  | | | | | | | |
| License Type | | |  | | License # | | |  | | | | Date Issued (MM/YY) |  |
| Date Expired (MM/YY) | | | |  | | | Reason for Termination | | | |  | | |
| Non-insurance Regulatory Phone Number (if known) | | | | | | | | |  | | | | |

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| Organization/Issuer of License | | | | |  | | | | | | | | |
| Address |  | | | | | | | | | City |  | | |
| State/Province | | |  | | | | | | Country | |  | | |
| Postal Code | |  | | | |  | | | | | | | |
| License Type | | |  | | License # | | |  | | | | Date Issued (MM/YY) |  |
| Date Expired (MM/YY) | | | |  | | | Reason for Termination | | | |  | | |
| Non-insurance Regulatory Phone Number (if known) | | | | | | | | |  | | | | |

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| 12. | In responding to the following, if the record has been sealed or expunged, and the affiant has personally verified that the record was sealed or expunged, an affiant may respond "no" to the question. Have you ever: | | | | | | | | | |
|  | | | | | | | | | | |
|  | a. | | | Been refused an occupational, professional, or vocational license or permit by any regulatory authority, or any public administrative or governmental licensing agency? | | | | | | |
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|  | b. | | | Had any occupational, professional, or vocational license or permit you hold or have held, been subject to any judicial, administrative, regulatory, or disciplinary action? | | | | | | |
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|  | c. | | | Been placed on probation or had a fine levied against you or your occupational, professional, or vocational license or permit in any judicial, administrative, regulatory, or disciplinary action? | | | | | | |
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|  | d. | | | Been charged with, or indicted for, any criminal offenses other than civil traffic offenses? | | | | | | |
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|  | e. | | | Pled guilty, or nolo contendere, or been convicted of, any criminal offenses other than civil traffic offenses? | | | | | | |
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|  | f. | | | Had adjudication of guilt withheld, had a sentence imposed or suspended, had pronouncement of a sentence suspended, or been pardoned, fined, or placed on probation for any criminal offenses other than civil traffic offenses? | | | | | | |
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|  | g. | | | Been subject to a cease and desist letter or order, or enjoined, either temporarily or permanently, in any judicial, administrative, regulatory, or disciplinary action, from violating any federal or state law or law of another country regulating the business of insurance, securities or banking, or from carrying out any particular practice or practices in the course of the business of insurance, securities or banking? | | | | | | |
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|  | h. | | | Been, within the last 10 years, a party to any civil action involving dishonesty, breach of trust, or a financial dispute? | | | | | | |
|  |  | | | |  | | | | | |
|  | | | | | | | | | | |
|  | i. | | Had a finding made by the Comptroller of any state or the Federal Government that you have violated any provisions of small loan laws, banking or trust company laws, or credit union laws, or that you have violated any rule or regulation lawfully made by the Comptroller of any state or the | | | | | | | |
|  |  | Federal Government? | | | | | | |  |  |
|  | | | | | | | | | | |
|  | j. | | Had a lien or foreclosure action filed against you or any entity while you were associated with that | | | | | | | |
|  |  | entity? | | | | |  |  | | |

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|  |  | | If the response to any question above is "Yes", please provide details including dates, locations, disposition, etc. Attach a copy of the complaint and filed adjudication or settlement as appropriate. | |
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|  | | | | |
| 13. | List any entity subject to regulation by an insurance regulatory authority that you control directly or indirectly. The term "control" (including the terms "controlling", "controlled by" and "under common control with") means the possession, direct or indirect, of the power to direct or cause the direction of the management and policies of a person, whether through the ownership of voting securities, by contract other than a commercial contract for goods or non-management services, or otherwise, unless the power is the result of an official position with or corporate office held by the person. Control shall be presumed to exist if any person, directly or indirectly, owns, controls, holds with the power to vote, or holds proxies representing 10% or more of the voting securities of any other person. | | | |
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|  | If any of the stock is pledged or hypothecated in any way, give details. | | | |
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| --- | --- | --- | --- | --- | --- |
| 14. | Do [Will] you or members of your immediate family individually or cumulatively subscribe to or own, beneficially or of record, 10% or more of the outstanding shares of stock of any entity subject to regulation by an insurance regulatory authority, or its affiliates? An "affiliate" of, or person "affiliated" with, a specific person is a person that directly, or indirectly through one or more intermediaries, controls, or is controlled by, or is under common control with, the person specified. If the answer is "Yes", please identify the company or companies in which the cumulative stock holdings represent 10% or more of the outstanding voting securities. | | | | |
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|  | |  | | | |
|  | If any of the shares of stock are pledged or hypothecated in any way, give details. | | | | |
|  | |  | | | |
|  |  | |  | | |
| 15. | Have you ever been adjudged bankrupt? | | |  | If yes, provide details. |
|  | |  | | | |

16. To your knowledge has any company or entity for which you were an officer or director, trustee, investment committee member, key management employee or controlling stockholder had any of the following events occur while you served in such capacity? If yes, please indicate and give details. When responding to questions 16b and 16c affiant should also include any events within 12 months after his or her departure from the entity.

a. Been refused a permit, license, or certificate of authority by any regulatory authority or governmental licensing agency?

b. Had its permit, license, or certificate of authority suspended, revoked, canceled, non-renewed, or subjected to any judicial, administrative, regulatory, or disciplinary action (including rehabilitation, liquidation, receivership, conservatorship, federal bankruptcy proceeding, state insolvency, supervision or any other similar proceeding)?

c. Been placed on probation or had a fine levied against it or against its permit, license, or certificate of authority in any civil, criminal, administrative, regulatory, or disciplinary action?

Note: If an affiant has any doubt about the accuracy of an answer, the question should be answered in the positive and an explanation provided.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Dated and signed this |  | day of |  | , 20 |  | at |  |

I hereby certify under penalty of perjury that I am acting on my own behalf, and that the foregoing statements are true and correct to the best of my knowledge and belief.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| (Signature of Affiant) | | |  | | Date |
| State of | |  | County of | |  | |

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| The foregoing instrument was acknowledged before me this | | | |  | | day of |  | | , | |
| 20 |  | by |  | | | | | , who is personally | |
| known to me, or who produced the following identification: | | | | |  | | | | |

|  |  |  |
| --- | --- | --- |
| [SEAL] |  | Notary Public |
|  | Printed Notary Name |
|  | My Commission Expires |