DUAL REGISTRATION – DEALER ACKNOWLEDGMENT FORM

_____(firm name), _____(CRD#) ("Dealer A"), and _____(firm name), _____(CRD#) ("Dealer B"), are North Carolina-registered Dealers under common ownership or control *and* employ or seek to employ one or more securities salesmen registered with both Dealers in North Carolina ("dual registration").

Dealer A and Dealer B understand and acknowledge that each Dealer shall have supervisory responsibility and may be jointly and severally liable for any violations of the North Carolina Securities Act or rules thereunder by any securities salesman approved for dual registration with both Dealers in this State.[1]

This Acknowledgment Form remains effective while Dealer A and Dealer B are under common ownership or control *and* employ securities salesmen approved for dual registration with both Dealers in this State.

Signed and acknowledged by Dealer A:

_____(Signature) _____(Date)

_____(Name) _____(Title)

Signed and acknowledged by Dealer B:

_____(Signature) _____(Date)

_____(Name) _____(Title)

[1] *See* G.S. §§ 78A-36, G.S.-39 (a1), and G.S.-49.