

DESIGNATION OF ACCOUNTANT

1) Broker-Dealer

Name: _____

Address: _____

Telephone Number: _____

SEC Registration Number: _____

2) Accounting Firm

Name: _____

Address: _____

Telephone Number: _____

3) Audit date covered by the agreement: _____
(month / day / year)

4) The contractual commitment to conduct the broker's or dealer's annual audit:

() is for the annual audit for the fiscal year ending _____.

() is of a continuing nature, providing for successive yearly audits.

- **If this commitment is not of a continuing nature, it will be necessary to file this form each successive year.**

Accountant's Signature: _____

Print Accountant's Name _____

Title: _____

Date: _____