



Texas State Securities Board  
P.O. Box 13167  
Austin, Texas 78711-3167

**Renewal Application for Mutual Funds and Other Continuous Offerings**

*Must be submitted with the applicable renewal fee.*

*[This form must be filed at least one month before the expiration of a current permit.]*

1. Name of Issuer. This name must be the same as that shown on Texas permit: \_\_\_\_\_

\_\_\_\_\_

2. Principal address of Issuer: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

3. Correspondent: \_\_\_\_\_

Firm: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Telephone: (      ) \_\_\_\_\_

4. Describe any legal or administrative proceedings of a material nature that have been instituted in which the Issuer, its advisor, or any affiliate was named as a party. If you have not previously notified the State Securities Board of such proceedings, please attach a summary or copy of the pleadings.

AFFIDAVIT

STATE OF \_\_\_\_\_

COUNTY OF \_\_\_\_\_

\_\_\_\_\_ (“Affiant”) being duly sworn, deposes and says that he or she is \_\_\_\_\_ (title) of the above-named registrant, having full authority in said capacity to agree to the following undertakings as evidenced by his or her signature below in consideration of a renewed registration. The registrant agrees:

- (1) to file one copy of each new, revised, or amended prospectus as soon as it is available, with such copy marked to show changes;
- (2) to continue to file single copies of all advertising literature as required by the Texas Securities Act, Section 22;
- (3) to continue to file sales reports of securities sold and to maintain an adequate authorization based upon the rate of sales in Texas;
- (4) to terminate security sales immediately if a licensed Texas dealer is no longer authorized to make sales; and
- (5) to notify the State Securities Board immediately of any material adverse change in the registrant’s plan of business or financial condition.

Affiant further deposes and says that unless the State Securities Board has been notified otherwise, no legal or administrative proceedings of a material nature have been instituted in which the Issuer, its advisor, or any affiliate thereof was a party since publication of the Issuer’s most recent prospectus.

\_\_\_\_\_  
(Signature of Affiant)

\_\_\_\_\_  
(Capacity)

Subscribed and sworn to before me the \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_

\_\_\_\_\_  
Notary Public in and for the County of \_\_\_\_\_  
State of \_\_\_\_\_  
My commission expires: \_\_\_\_\_

(NOTARY SEAL)