



**DISCLOSURE OF OUTSIDE BUSINESS ACTIVITY**

FINRA Conduct Rule 3270 (Outside Business Activities of an Associated Person) prohibits all persons associated with a member firm in any registered capacity from accepting employment or compensation as a result of a business activity outside the scope of the relationship with a member firm unless prior written notice is provided to the member firm. If you engage in any business other than as a Financial Advisor of Investment Planners, Inc., either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise, then you must complete and submit this Outside Business Activity disclosure form. Please note that a separate form must be completed for each outside business activity ("OBA").

The following are some examples of the types of outside activities that would require you to complete and sign an Outside Business Activity form:

- Trustee
- Financial services entity
- Independent RIA
- Board of directors/Officer/Owner of other entity
- Treasurer of Organization
- Rental property owner.

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Please answer the following questions:

1. Start date or proposed start date of this activity (month/year):
2. Organization name:  
Please be sure to indicate if the organization is an LLC, corporation, etc. (e.g., "John Doe, Inc.", "Trustee for John Smith Trust", "Rental Property", "Board of Directors - Smith Foundation"). If the name of the 'business organization' listed above is simply a DBA, and there is no underlying entity, please write DBA name here:
3. Organization business address (Note: if this is an OBA for a rental property, list the rental property address here):
4. Is the address from which you conduct the activity the same as above? If no, please list the address from which you conduct the activity:
5. Is there a website address associated with this OBA? If yes, please provide the website address associated with this OBA:
6. Is this organization considered charitable, civic, religious, or fraternal, AND is tax-exempt? If yes, please circle one of the following: Charitable Civic Religious Fraternal  
What is your position, title or relationship/affiliation with this organization?
7. Are you an owner of the disclosed OBA? If yes, indicate your % of ownership:  
Please provide a description of your responsibilities, activities, etc. with your position with this outside business:
8. Is this activity investment-related? (Note: activities which involve securities, an investment company or investment-related products, or pertain to commodities, banking, insurance, or real estate, are considered to be "investment-related"):
9. Please circle if the OBA involves the sale of, or is otherwise related to, the following:  
If none apply then select "None":
 

None	P&C Insurance	Private Placement
Commodities	Health Savings Accounts	Health Insurance
Other Insurance	Mergers and Acquisitions	Hedge Funds
Equity/Fixed Index Annuities	Promissory Notes	1031 Exchanges
Viatical/Life settlements		
Mortgage Broker/Mortgage Referrals	Traditional Fixed Income Insurance	

 Registered Investment Adviser - Financial plans, assets under management, hourly/fixed fees for investment advice, etc. (Please attach Form ADV Part 1A and Part 2A along with all Schedules.)  
Other, explain:



10. Is this a publicly traded company? If yes, please provide the company name, and ticker symbol:
11. List your method of compensation for activities related to this OBA (salary, hourly, profit sharing, commissions, fees, stock options, retainer, billed through CPA firm/law firm, etc.)
12. How many hours on average do/will you devote to this business per month?
13. How many hours on average do/will you devote to this business during securities trading hours (9:30 am to 4:00pm Eastern Standard Time) each day?
14. Are there any brokerage account(s) associated with this OBA? If yes, do you have the ability or authority to place trades in the account(s):  
If yes, please submit the most recent account statement with this OBA form.
15. Are you involved in any other capacity with investment decisions associated with this outside business activity (e.g., a board director involved in the selection of an investment adviser, creation of an Investment Policy Statement, discussion of potential investments, voting on investment decisions, etc.)? If yes, please explain:
16. Did/do you raise capital for this activity? If yes, how was/is this capital raised?
17. Please use this space if you wish to include any further explanation of this Outside Business Activity:

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I certify this information is correct and true to the best of my knowledge. I agree to notify IPI immediately if any of the information herein disclosed changes.

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Advisor's Signature

Date

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Home Office Use Only:

Approved      Not Approved      Non-OBA - do not list on Form U-4

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Principal's Signature

Date