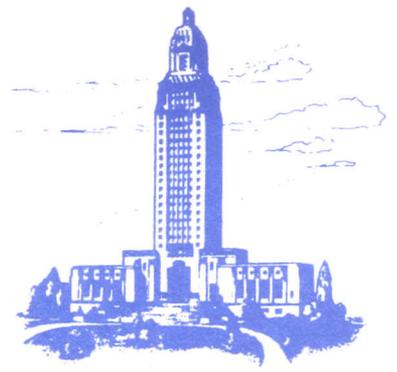




STATE OF LOUISIANA  
OFFICE OF FINANCIAL INSTITUTIONS  
BATON ROUGE, LOUISIANA

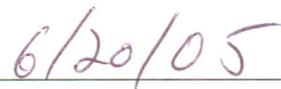


**POLICY NO. S-02-2005**

**CONSENT TO SERVICE OF PROCESS**

- I. **PURPOSE:** To establish the acceptable form to be used in granting the Commissioner consent to service of process upon broker-dealers and investment advisers.
- II. **APPLICABILITY:** Broker-dealers and investment advisers registered with this Office.
- III. **GENERAL:** In accordance with LSA-R.S. 51:718, the Commissioner establishes that the consent to service of process included in Form BD for broker-dealers and Form ADV, Part I, for investment advisers meets the consent required by LSA-R.S. 51:703(B)(4) for broker-dealers and 703(D) for investment advisers. Therefore, the filing of Form U-2 with this Office is not required

  
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John Ducrest  
Commissioner of Financial Institutions

  
\_\_\_\_\_  
Date