

AUTHORIZATION TO UPDATE U-4



Rep. Name: _____ Date Received: _____

Please indicate type of change to be reported:

Outside Business Activity – new and/or changes. Verify that a new OBA form is completed also. Please provide these details: name of the other business, whether it is investment-related, address of the business, nature of the other business, position, title or relationship with the other business, start date, number of hours/month you devote to the business, number of hours during securities trading hours, and a brief description of your duties.

Is a website address used for this activity?

Yes, the web address is: _____

No, I do not use a website for this activity

Formal written approval for use of this website will be provided under separate cover upon review.

Changes to general information (address, etc.)

Disclosure of complaints or other issues (additional fee may be required by FINRA)

Other _____

Please Note: New disclosures to your Form U-4 must be made within 30 days of occurrence. If you report new information after the 30 day period, a penalty of \$100 for the first day, \$25 for each day after up to a maximum of \$1,575, will be assessed by FINRA.

DETAILS _____

SIGNATURES

I authorize KCD Financial, Inc. to update my Form U-4 with FINRA to reflect the information listed above.

Representative Signature: _____

Principal Approval: _____ Date: _____

Form U-4 Updated: _____ Date: _____