



OFFICE OF LEGAL SERVICES
INNOVATION

**Addendum Two:
Controlling and
Financing Persons**

Instructions:

Answer each of the following questions. DO NOT answer "Yes" if you have only civil traffic violations. Regarding criminal matters, the fact that you entered into a plea bargain or plead "no contest" or your conviction has been vacated, pardoned, expunged, sealed, set aside, dismissed, or appealed, or your civil rights have been restored this question must be answered "Yes." If the answer is "Yes", give details of the offense, and explain at the bottom of the form.

Have you or any business entity in which you have or had an economic interest or control in:

(1) committed any act constituting material misrepresentation, omission, fraud, dishonesty, or corruption in business or financial matters? ☐ Yes ☐ No

(2) engaged in conduct showing incompetence or a source of injury and loss to the public? ☐ Yes ☐ No

(3) been convicted by final judgment of a felony, regardless of whether civil rights have been restored? ☐ Yes ☐ No

(4) been convicted by final judgment of a misdemeanor, regardless of whether civil rights have been restored? ☐ Yes ☐ No

(5) had a professional or occupational license or certificate denied, revoked, suspended, or any other disciplinary action taken? ☐ Yes ☐ No

(6) been terminated, suspended, placed on probation, or other disciplinary action taken in the course of employment since the age of 21? ☐ Yes ☐ No

(7) been found civilly liable in an action involving misrepresentation, material omission, fraud, misappropriation, theft, or conversion? ☐ Yes ☐ No

(8) been placed on probation or parole? ☐ Yes ☐ No

(9) violated any decision, order, or rule issued by a professional regulatory entity? ☐ Yes ☐ No

(10) violated any order of a court, judicial officer, or administrative tribunal?

☐ Yes ☐ No

(11) been the subject (to the best of your knowledge) of any pending criminal or administrative investigations relating to professional competency, unauthorized practice of law, or material misrepresentation, omission, fraud, dishonesty, or corruption in business or financial matters?

☐ Yes ☐ No

Provide any explanations below:

Name: _____

Date: _____

Signature: _____