

DUAL AGENT EMPLOYMENT AGREEMENT AND UNDERTAKING

_____ (salesman's name), _____ (CRD#), seeks simultaneous registration as a securities salesman (hereafter "Agent") with

_____ (company name), _____ (CRD#) ("Company A") and

_____ (company name), _____ (CRD#) ("Company B").

Company A and Company B are registered securities dealers and both seek to employ Agent to sell securities in Arizona during a simultaneous timeframe. Company A and Company B agree to Agent's dual employment and accept joint and several liability for all securities sales activities of Agent that occur within or from Arizona while Agent is employed by both Company A and Company B.

Company A and Company B agree that they are bound by this agreement until Agent's relationship with one of them is terminated, upon which, the company with which the relationship is terminated shall notify the other company and the Arizona Corporation Commission, Securities Division.

This Agreement becomes effective on the _____ day of _____, 20__.

Signed and acknowledged by an authorized agent of **Company A**:

_____ (Name of authorized agent)

_____ (Title of authorized agent)

_____ (Signature of authorized agent)

_____ (Date)

Signed and acknowledged by an authorized agent of **Company B**:

_____ (Name of authorized agent)

_____ (Title of authorized agent)

_____ (Signature of authorized agent)

_____ (Date)