

6. Suspension or Expulsion by Self Regulatory Organizations

No Covered Person has been suspended or expelled from membership in, or suspended or barred from association with a member of, a registered national securities exchange, or a registered national or affiliated securities association for any act or omission to act constituting conduct inconsistent with just and equitable principles of trade.

7. Certain Stop Orders and Orders Pertaining to Certain Offerings

No Covered Person has (i) filed (as a registrant or issuer), or (ii) been named as an underwriter in, any registration statement or Regulation A offering statement filed with the SEC that, within the last five years, was the subject of a refusal order, stop order, or order suspending the Regulation A exemption, and no Covered Person is currently the subject of an investigation or proceeding to determine whether a stop order or suspension order should be issued.

8. US Postal Service Orders

No Covered Person has been subject to a United States Postal Service false representation order entered within the last five years, and no Covered Person is currently subject to a temporary restraining order or preliminary injunction with respect to conduct alleged by the United States Postal Service to constitute a scheme or device for obtaining money or property through the mail by means of false representations.⁷

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⁷ This is intended to cover orders entered under 39. U.S.C. § 3005 and temporary restraining orders or preliminary injunctions entered under 39 U.S.C. § 3007 with respect to conduct alleged to have violated 39. U.S.C. § 3005.