



CERTIFICATE HOLDER’S STATEMENT

The statements below must be initialed by the Certificate Holder. In answering these questions, the Certificate Holder may exclude (and therefore initial “no”) to any juvenile proceedings, or traffic or similar nuisance offenses.

Previous to signing this InFRE Statement (or since the last Certificate Holder’s Statement):

	Yes	No
<input type="checkbox"/> I have been a defendant in a criminal proceeding that did not result in a conviction.	_____	_____
<input type="checkbox"/> I have been convicted of a crime.	_____	_____
<input type="checkbox"/> I have been a defendant in a regulatory or licensing proceeding brought by a state or federal agency, or civil/professional organization (FINRA, bar association, or similar professional organization) and the decision rendered was adverse to my interests.	_____	_____
<input type="checkbox"/> I have been the subject of an inquiry or investigation with respect to my professional conduct by a state or federal agency, or civil/professional organization (FINRA, bar association, or similar professional organization.)	_____	_____

**For any “YES” answer, please explain the facts that determined the outcome of the referenced action at the bottom of this form. Attach an additional sheet of paper, if necessary.**

I understand that continued compliance with The CRC<sup>®</sup> Code of Ethics is mandatory. I further understand that I must meet all other requirements of a Certificate Holder including, but not limited to, all continuing education requirements and fees. I understand that if I fail to comply with any of the foregoing conditions, the designation and all associated rights will be removed.

*I have read the Certificate Holder’s Statement and understand the items set forth in it, as well as the items in preceding sections of this form. I further declare that my statements (including any required attachments) are true and complete to the best of my knowledge and freely given.*

\_\_\_\_\_  
Name (Print or Type)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Address

If you have answered “YES” to any of the above questions, please explain in the space provided below and include any appropriate back-up documentation (use reverse side, if necessary.)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_