



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/months 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: _____

Revised: 9/11/23