

# OFG Financial Services, Inc.

## Disclosure of Outside Business Activity Form

FINRA Rule 3270 requires Registered Representatives to disclose all outside business activities to their broker-dealer. Therefore, OFG Representatives are required to complete this form for each outside business activity in which they are engaged. Registered Representatives should also report to OFG when they have ceased engaging in a previously reported outside business activity.

**REPRESENTATIVE NAME:** \_\_\_\_\_

O yes O no 1. Is the business activity investment-related?

2. Business Name: \_\_\_\_\_

3. Business Address: \_\_\_\_\_

4. Detailed description of Outside Business Activity: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

5. What type of compensation is received? (e.g., salary, commissions, hourly) \_\_\_\_\_

\_\_\_\_\_

6. What percentage of your time is spent on this business? \_\_\_\_\_

The undersigned Registered Representative certifies the above information is accurate.

\_\_\_\_\_  
Registered Representative Signature

\_\_\_\_\_  
Date

### **FOR OFG HOME OFFICE USE ONLY:**

The undersigned Compliance Officer or designated OFG Principal has reviewed the above information in accordance with FINRA Rule 3270 Supplementary Material .01, and has considered whether the proposed activity will:

1. interfere with or otherwise compromise the Registered Representative's responsibilities to OFG's customers,
2. be viewed by customers or the public as part of OFG's business based upon, among other factors, the nature of the proposed activity and the manner in which it will be offered, and
3. be properly characterized as an outside business activity or whether it should be treated as a private securities transaction subject to the requirements of FINRA Rule 3280.

Upon these considerations, the undersigned has determined this activity will not interfere with the registered Representative's Responsibilities to OFG's customers, this activity will not create any unwanted assumptions or expectations from the public about OFG's business, this activity will not create conflicts of interest for the Registered Representative, and this activity does not represent a private securities transaction.

\_\_\_\_\_  
OFG Compliance Officer or Designed Principal Signature

\_\_\_\_\_  
Date