

# Certificate of Approval

NATIONAL ETHICS BUREAU®

## **SIMON MAIERHOFER**

**Member Status: APPROVED**  
**Member Through: Apr 15, 2004**

Our research and background department has determined that **SIMON MAIERHOFER** has met the following qualifications and high standards in the areas of ethics, licensing and education and has been approved for NEB membership and acts in the following NEB Professional Classification:

### **APPROVED FINANCIAL ADVISOR**

Member has been verified as having a flawless record of business ethics; and has been verified to hold a State Regulated License to conduct business;

**License #0C62278**  
**CE Credit Requirements**  
**No Violations Of Statutes**  
**No Fraud Or Misrepresentations**  
**No Justified Complaints**  
**No Disciplinary Actions**  
**No Felony Convictions\***  
**No Business Misdemeanors\***

**Verified/ Ethicscheck 2003**  
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\*All members have agreed to a seven-year criminal background check in their county of business.

#### **Other Accomplishments\*\***

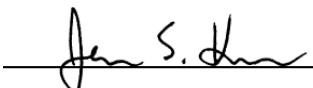
**Professional Designation: RIA (Registered Investment Advisor). NASD: Series 6, Series 7, Series 63, Series 65, CA Life & Health Insurance.**

Based on the standards set forth for membership as outlined in the Code of Ethics and Conditions of Participation, the National Ethics Bureau has assigned **SIMON MAIERHOFER** an overall rating of:

**A+ (Superior)**



S.R. McCarty, Executive Officer

J.S. Kopitz, Executive Officer

#### **\*\*Disclaimer**

All NEB members have been verified as to the high standards and qualifications detailed above. However, the NEB provides no assurance or warranty of the ethical integrity of its members or any other accomplishments claimed by members. Consumers should always make financial decisions on the basis of their own due diligence.

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