

TEAMWORK MAKES IT EASIER TO SUCCEED

200 North Sepulveda Blvd., Suite 1300 ♦ El Segundo, CA 90245-5672 ♦ Tel.: 310.326.3100

2009
ANNUAL
BUSINESS
QUESTIONNAIRE

Financial Network Investment Corporation 2009 Annual Business Questionnaire

April 16, 2009

I. Overview

All Financial Network Registered Representatives and Supervisors are required to complete the 2009 Annual Business Questionnaire. Access to the **2009 Annual Business Questionnaire will begin May 1, 2009, and end June 15, 2009.**

II. Important Exception

New Representatives who have been assigned Financial Network representative numbers **after May 1, 2009**, are not required to complete this year's Annual Business Questionnaire nor will they have access to it.

III. Accessing the Annual Business Questionnaire

Representatives can access the Annual Business Questionnaire from **ING SmartWorks** as follows:

ING SmartWorks ► Compliance ► Annual Business Questionnaire

IV. Assistance

- For technical assistance, please call the Help Desk at (800) 771-6315 (6:00am to 5:00pm PST)
- For questions regarding the ABQ content, please contact the Compliance Department at (800) 879-8100 ext. 77700

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V. Late Fees

Failure to complete the Annual Business Questionnaire by the June 15th deadline will result in the following late fees**:

June 16, 2009 - \$100.00

June 30, 2009 - additional \$150.00

July 15, 2009 - additional \$250.00 or termination from the Firm

****Late fees will automatically be debited from your commissions and are non-refundable once the charge has been processed****