

Agent of the Issuer Registration Requirements

1. Form U-4 Information

The most current Form U-4 is the only acceptable application form and must be executed in type or printed legibly. All signatures on the application are to be original with appropriate notarization.

2. Registration Fee

A fee of seventy-five dollars (\$75.00) is required for filing an application.

3. Additional Exhibits & Requirements

Attach the following required exhibits:

- a. Proof of passing the Uniform Securities Agent Law Examination (Series 63).
- b. Proof of passing the appropriate FINRA sales examination.
- c. A \$25,000 Agent Surety Bond.

4. A photocopy of processed FBI fingerprint card.