

<b>INDIVIDUAL NAME:</b>	<b>SSN:</b> _____ - ____ - ____
<b>INDIVIDUAL CRD #:</b>	<b>FIRM CRD #:</b>

### 1. GENERAL INFORMATION

FIRST NAME:	MIDDLE NAME:	LAST NAME:	SUFFIX:
FIRM CRD #:	FIRM NAME:	CRD BRANCH #:	EMPLOYMENT DATE (MM/DD/YYYY):
FIRM BILLING CODE:	INDIVIDUAL CRD #:	INDIVIDUAL SSN:	
OFFICE OF EMPLOYMENT ADDRESS STREET 1:	CITY:	STATE:	
OFFICE OF EMPLOYMENT ADDRESS STREET 2:	COUNTRY:	POSTAL CODE:	

Private Residence Check Box If the Office of Employment address is a private residence, check this box.

### 2. FINGERPRINT INFORMATION

#### Electronic Filing Representation

By selecting this option, I represent that I am submitting or promptly will submit to the appropriate SRO fingerprint cards as required under applicable SRO rules.

Fingerprint card barcode \_\_\_\_\_

#### Exceptions to the Fingerprint Requirement

By selecting this option, I affirm that:

- I have been employed continuously by the *filing firm* in an unregistered capacity since the last submission of a fingerprint card; or
- I am exempt from the fingerprint requirement because I meet one or more of the exemptions established by Rule 17f-2 under the Securities Exchange Act of 1934.

#### Investment Adviser Representative Only Applicants

I affirm that I am applying only as an investment adviser representative and that I am not also applying or have not also applied to become a broker-dealer representative. If this radio button/box is selected, continue below.

I am applying for registration only in *jurisdictions* that do not have fingerprint card filing requirements, or

I am applying for registration in *jurisdictions* that have fingerprint card filing requirements and I am submitting the appropriate fingerprint card directly to the *jurisdictions* for processing.

### 3. REGISTRATION WITH UNAFFILIATED FIRMS

Some jurisdictions prohibit "dual registration," which occurs when an individual chooses to maintain a concurrent registration as a representative/agent with two or more firms (either BD or IA firms) that are not affiliated. Jurisdictions that prohibit dual registration would not, for example, permit a broker-dealer agent working with brokerage firm A to maintain a registration with brokerage firm B if firms A and B are not owned or controlled by a common parent. Before seeking a dual registration status, you should consult the applicable rules or statutes of the jurisdictions with which you seek registration for prohibitions on dual registrations or any liability provisions. Please indicate whether the individual will maintain a "dual registration" status by answering the questions in this section. (Note: An individual should answer 'yes' only if the individual is currently registered and is seeking registration with a firm (either BD or IA) that is not affiliated with the individual's current employing firm. If this is an initial application, an individual must answer 'no' to these questions; a "dual registration" may be initiated only after an initial registration has been established).

Answer "yes" or "no" to the following questions:

A. Will *applicant* maintain registration with a broker-dealer that is not *affiliated* with the *filing firm*? If you answer "yes," list the *firm(s)* in Section 12 (Employment History). Yes      No

B. Will *applicant* maintain registration with an investment adviser that is not *affiliated* with the *filing firm*? If you answer "yes," list the *firm(s)* in Section 12 (Employment History). Yes      No

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### 4. SRO REGISTRATION

Check appropriate SRO Registration requests.

Qualifying examinations will be automatically scheduled if needed. If you are only scheduling or rescheduling an exam, skip this section and complete Section 7 (EXAMINATION REQUESTS).

REGISTRATION CATEGORY	NASD	NYSE	AMEX	BSE	CSE	PCX	CBOE	CHX	PHLX	ISE
OP - Registered Options Principal (S4)										
IR - Investment Company and Variable Contracts Products Rep. (S6)										
GS - Full Registration/General Securities Representative (S7)										
TR - Securities Trader (S7)										
TS - Trading Supervisor (S7)										
SU - General Securities Sales Supervisor (S9 and S10)										
BM - Branch Office Manager(S9 and S10)										
SM - Securities Manager (S12)										
AR - Assistant Representative/Order Processing (S11)										
IE - United Kingdom - Limited General Securities Registered Representative (S17)										
DR - Direct Participation Program Representative (S22)										
GP - General Securities Principal (S24)										
IP - Investment Company and Variable Contracts Products Principal (S26)										
FA - Foreign Associate										
FN - Financial and Operations Principal (S27)										
F1 - Introducing Broker-Dealer/Financial and Operations Principal (S28)										
DP - Direct Participation Program Principal (S39)										
OR - Options Representative (S42)										
MR - Municipal Securities Representative (S52)										
MP - Municipal Securities Principal (S53)										
CS - Corporate Securities Representative (S62)										
REGISTRATION CATEGORY	NASD	NYSE	AMEX	BSE	CSE	PCX	CBOE	CHX	PHLX	ISE
RG - Government Securities Representative (S72)										
PG - Government Securities Principal (S73)										
SA - Supervisory Analyst (S16)										
PR - Limited Representative - Private Securities Offerings (S82)										
CD - Canada-Limited General Securities Registered Representative (S37)										
JP - Japanese-Limited General Securities Registered Representative (S47)										
CN - Canada-Limited General Securities Registered Representative (S38)										
ET - Equity Trader (S55)										
AM - Allied Member										
AP - Approved Person										
LE - Securities Lending Representative										
LS - Securities Lending Supervisor										
ME - Member Exchange										
FE - Floor Employee										
OF - Officer										
CO - Compliance Official (S14)										
CF - Compliance Official Specialist (S14A)										
PM - Floor Member Conducting Public Business (S7A)										
PC - Floor Clerk Conducting Public Business (S7A)										
SC - Specialist Clerk (S21)										
TA - Trading Assistant (S25)										
Other _____ (Paper Form Only)										

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### 5. JURISDICTION REGISTRATION

Check appropriate *jurisdiction(s)* for AG (Broker Dealer Agent) and/or RA (Investment Adviser Representative) registration requests.

JURISDICTION	AG	RA	JURISDICTION	AG	RA	JURISDICTION	AG	RA	JURISDICTION	AG	RA
Alabama			Illinois			Montana			Puerto Rico		
Alaska			Indiana			Nebraska			Rhode Island		
Arizona			Iowa			Nevada			South Carolina		
Arkansas			Kansas			New Hampshire			South Dakota		
California			Kentucky			New Jersey			Tennessee		
Colorado			Louisiana			New Mexico			Texas		
Connecticut			Maine			New York			Utah		
Delaware			Maryland			North Carolina			Vermont		
District of Columbia			Massachusetts			North Dakota			Virginia		
Florida			Michigan			Ohio			Washington		
Georgia			Minnesota			Oklahoma			West Virginia		
Hawaii			Mississippi			Oregon			Wisconsin		
Idaho			Missouri			Pennsylvania			Wyoming		

AGENT OF THE ISSUER REGISTRATION (AI) Indicate 2 letter jurisdiction code(s) : \_\_\_\_\_

### 6. REGISTRATION REQUESTS WITH AFFILIATED FIRMS

Will *applicant* maintain registration with the firm(s) under common ownership or control with the *filing firm*?  
 If "yes", fill in the details to indicate a request for registration with additional *firm(s)*. **Yes No**

AFFILIATED FIRM CRD #:	AFFILIATED FIRM NAME:	AFFILIATED FIRM CRD BRANCH #:	AFFILIATED FIRM BILLING CODE:	EMPLOYMENT DATE (MM/DD/YYYY):
OFFICE OF EMPLOYMENT ADDRESS STREET 1:		CITY:		STATE:
OFFICE OF EMPLOYMENT ADDRESS STREET 2:		COUNTRY:		POSTAL CODE:

**Check here to request the same SRO and jurisdiction Registrations for this affiliated firm that are requested on this application for the filing firm.**

**Check here to request different SRO and jurisdiction Registrations than requested on this application for your filing firm**

### 7. EXAMINATION REQUESTS

**Scheduling or Rescheduling Examinations.** Complete this section only if you are scheduling or rescheduling an examination or continuing education session. Do not select the Series 63 or 65 examinations in this section if you have completed Section 5 (JURISDICTION REGISTRATION) and have selected registration in a *jurisdiction*. If you have completed Section 5 (JURISDICTION REGISTRATION), and requested a Broker Dealer Agent (AG) registration in a *jurisdiction* that requires that you pass the Series 63 examination, a Series 63 examination will be automatically scheduled for you upon submission of this Form U-4. If you have completed Section 5 (JURISDICTION REGISTRATION), and requested an Investment Adviser Representative (RA) registration in a *jurisdiction* that requires that you pass the Series 65 examination, a Series 65 examination will be automatically scheduled for you upon submission of this Form U-4.

S3	S9	S15	S25	S32	S52	S66
S4	S10	S16	S26	S33	S53	S72
S5	S11	S17	S27	S37	S55	S73
S6	S12	S21	S28	S38	S62	S101
S7	S14	S22	S30	S39	S63	S106
S7A	14A	S24	S31	S42	S65	S201

Other \_\_\_\_\_ (Paper Form Only)

OPTIONAL: Foreign Exam City \_\_\_\_\_ Date (MM / DD / YYYY) \_\_\_\_\_

If you have taken an exam prior to registering through the CRD system enter the exam type and date taken.

Exam type: \_\_\_\_\_ Date taken (MM/DD/YYYY): \_\_\_\_\_

### 8. PROFESSIONAL DESIGNATIONS

Select each designation you currently maintain.

Certified Financial Planner	Chartered Financial Consultant (ChFC)	Personal Financial Specialist (PFS)
Chartered Financial Analyst (CFA)	Chartered Investment Counselor (CIC)	