



DATE

Contact, Title
Firm
Address

Re: Ohio Broker Dealer Licensure CRD #

Dear Contact Name:

We have received notice of the above referenced firm's pending broker-dealer application from Web CRD. Ohio Revised Code Section 1707.15 requires the filing of additional information directly with our office to complete the application process.

- 1) Pursuant to Revised Code 1707.15(C), please **confirm in writing the natural person selected by the firm to serve as the Designated Principal.** Ohio requires that the firm's designated principal be a person included on the Direct Owner/Executive Officers, or Indirect Owner listing on the CRD, and have a passing test* score to qualify as a Principal.
- 2) To request Ohio registration for your designated principal and any other representatives, **you must check Ohio's box on their Form U-4.**
- 3) Complete the **Broker Dealer Questionnaire and Affidavit: prior sales** (enclosed).

In accordance with Ohio Administrative Code 1301:6-3-15 (A)(3), in the event that an application for a securities dealer license has been pending for more than one hundred eighty days, and the applicant has failed to correct outstanding deficiencies, the division may terminate the application through the CRD system.

The above noted items are required to complete the review of the licensee's application for licensure in the State of Ohio. You may forward these documents by mail, email Stephanie.Talib@com.ohio.gov or fax; 614-466-3441. If you have any questions, please call the undersigned at (614) 466-3441.

Sincerely,

Stephanie Talib
Licensing Administrator

Affidavit Enclosed

* Principal Exams accepted; Series 4, 24, 26, 39, 53 or 66.



DEALER QUESTIONNAIRE AND AFFIDAVIT: PRIOR SALES

Date: _____

Full Name of Dealer: _____

Firm CRD No.: _____

The undersigned authorized signatory certifies as follows: I have conducted a thorough review into the activities of the Dealer listed above, and, to the best of my knowledge within the past 60 months, the Dealer has not effected any non-exempt transactions in the State of Ohio.

If any transactions were made in the past 60 months in reliance upon an exemption, I have attached a list of those transactions. As to those transactions, I have identified the exemption upon which the Dealer relied and provided an explanation.

For those transactions that occurred within the past 60 months that were effected without the benefit of an exemption, I am providing the following information:

- The accountholder's name address and telephone number;
- Name of the security;
- Date and amount of the trade, including the commission paid to the Dealer and to the Agent; and
- The Agent who effected the transaction.

I am aware that the State of Ohio may verify this information with my clearing firm.

I further certify that the Dealer listed above will refrain from transacting business as a Dealer in Ohio until registration is completed.

I acknowledge that if my response to any of the above is false or if the Dealer transacts business during the period prior to licensure, the Dealer and I are subject to sanctions pursuant to the laws of Ohio.

Name of Authorized Signatory (Please Print)

Signature of Authorized Signatory

Subscribed and sworn before me this _____ day of _____, 2_____.

County of _____, State of _____.

My commission expires _____.

Notary Public Signature

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