



Department of Commerce

Division of Securities

John R. Kasich, Governor
Andre T. Porter, Director

This letter is directed to your attention in response to your request for information on obtaining an Ohio Dealer's license pursuant to R.C. 1707.15. Please use the following procedures:

- File electronically Form BD through the Web CRD. This is accomplished by checking Ohio's box on the Form BD and submitting the form.
- The Ohio Dealer fee of \$200.00 will automatically be deducted from your account with Web CRD.

Once you have filed the Form BD through the Web CRD, you will need to complete the following:

- (1) File directly with the Division an **original** signed and notarized [Dealer Questionnaire and Affidavit: Prior Sales](#).
 - If the firm has made prior sales in Ohio, you must still complete the Dealer Questionnaire and Affidavit: Prior Sales. In addition, you will also need to attach a list of the transactions made with the following information:
 - If the prior sales transactions are exempt, you need to state which exemption(s) they fall under.
 - If the prior sales transactions are not exempt, for each transaction you **must** to supply 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 Agent; and the Agent who effected the transaction.
- (2) Pursuant to Revised Code 1707.15(C), please **confirm in writing the natural person selected by the firm to serve as the Designed 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.
- (3) To request Ohio registration for your designed principal and any other representatives, you must check Ohio's box on their Form U-4.
 - In a separate cover letter, state the name and CRD number of the person the firm will be designating as the designated principal in Ohio.
 - Check Ohio's box on the principal's Form U-4.

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

Sincerely,

Kelly Igoe
Licensing Administrator
EOE/ADA SERVICE PROVIDER

FOR TTY USERS DIAL ORS 1-800-750-0750