



Ohio Department of Commerce

Division of Securities

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Ted Strickland
Governor

Kimberly A. Zurz
Director

Dear FINRA member firm:

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 \$100.00 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), all Dealers are required to have a designated principal. To designate a principal please do the following:
 - 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.

Sincerely,

Michelle Lutz
Licensing Section