

STATE OF NEW JERSEY  
DEPARTMENT OF LAW AND PUBLIC SAFETY  
DIVISION OF CONSUMER AFFAIRS  
BUREAU OF SECURITIES

BROKER-DEALER SUPPLEMENT

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INSTRUCTIONS: This application must be : RECEIPT  
filed by a person desiring to transact :  
business as a Broker-dealer. : FILING  
: DATE  
APPLICATIONS WILL BE ACCEPTED ONLY :  
WHEN ALL QUESTIONS ARE ANSWERED IN : EFF.  
FULL AND EACH OF THE REQUIRED :  
DOCUMENTS ACCOMPANY THE FORM :  
: CRD #  
:   
:   
:   
: FOR BUREAU USE ONLY

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On \_\_\_\_\_ the New Jersey Bureau of Securities ("Bureau")  
received from the Central Registration Depository ("CRD") information that  
\_\_\_\_\_ with its principal office  
at \_\_\_\_\_

seeks to apply for registration with the Bureau of Securities to transact  
securities business as a broker-dealer and submits in support thereof the  
following information:

1. The name and address of the person to contact with respect to this application:

Name	Telephone No.
Address	

2. The name and CRD numbers of the firm's two registered principals required by NASD Rule 1021(e) or a copy of the FINRA, Inc. approved waiver.

Name	CRD # and Exams Passed

3. Give nature and location of each business in which applicant has engaged during the preceding five years.

Dates		Name and Location	Nature of Business
From	To		
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

4. List the name and nature of the business for all parent companies of the broker-dealer:

Parent Co. Name	Nature of Business	Date of Incorporation
_____	_____	_____
_____	_____	_____
_____	_____	_____

5. List the names, CRD numbers (or SSN) and addresses of the 10% or more shareholders of any parent companies. If multiple holding companies exist, list the same for each parent company. If the parent company is a public entity, please state so.

Name	CRD # / SSN	Address
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

THE FOLLOWING DOCUMENTS MUST ACCOMPANY THE APPLICATION AS A PART THEREOF:

1. The completed New Jersey Broker-Dealer Supplement Form.
2. An executed copy of the attached statement that the applicant has read and understands the Uniform Securities Law (1997).
3. An executed copy of the attached statement that the applicant has met the minimum net capital requirements as specified by Section 15 of the Securities Exchange Act of 1934.
4. An executed copy of the attached statement that the applicant has not offered or sold securities within or from New Jersey at any time.

OR

a list of the names and addresses of New Jersey residents or accounts to whom securities have been offered or sold. The list shall include the following for each such resident or account:

- i. the securities offered or sold;
  - ii. number of shares or units;
  - iii. dollar amount of each transaction;
  - iv. date of each transaction; and
  - v. the name of the representative or person who effected the transaction or offered the securities.
5. An executed copy of the attached statement granting the Bureau authorization to examine any filings the applicant has made with FINRA or New York Stock Exchange, American Stock Exchange, or another major national securities exchange.
  6. The latest certified financial statement and balance sheet prepared within 60 days of application date signed by a principal listed on Schedule A of Form BD and notarized.

FINANCIAL STATEMENTS:

A certified (audited) financial statement which contains the opinion letter of the independent accountant is required. If the audited financial statement was prepared as of a date more than 60 days prior to the filing of the application, **an additional financial statement** prepared within the 60-day period must be filed. This supplementary statement may be unaudited provided that it is signed by an officer and notarized. Part II or Part II A of the applicant's latest quarterly FOCUS report may be substituted for the supplementary statement. Firms newly approved by FINRA must submit a copy of their engagement letter with a notarized unaudited financial statement in lieu of an audited financial statement.

AMENDMENTS

Any changes to information contained on this supplement should be filed by submitting this supplement including only the changed information or by letter within 30 days of said change. All other changes should be made directly with the CRD.

STATE OF NEW JERSEY  
BROKER/DEALER APPLICATION

CERTIFICATION

The undersigned \_\_\_\_\_,  
being the individual applicant of an officer, director, general partner of the  
applicant corporation or partnership, of full age, deposes and says that: (1)  
he has read and understands the provisions of section 49:3-54 of the Uniform  
Securities Law (1997); (2) he has read all of the statements contained on this  
form and they are true and correct; and (3) he understands that any false or  
misleading statement constitutes a violation of the Uniform Securities Law  
(1997). (L.1997, C.276)

I certify that the foregoing statements made by me are true, I am aware that  
if any of the foregoing statements made by me are willfully false, I am subject  
to punishment.

Date: \_\_\_\_\_

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Title)

STATE OF NEW JERSEY  
BROKER/DEALER APPLICATION

CERTIFICATION OF NO SALE

The undersigned \_\_\_\_\_, a duly authorized officer of \_\_\_\_\_ (firm name) on behalf of the Broker/Dealer, certify that \_\_\_\_\_ (firm name) has not transacted business as a Broker/Dealer in the State of New Jersey.

\_\_\_\_\_ (firm name) agrees to comply with the New Jersey Securities Act and to refrain from transacting business as a Broker/Dealer in the State of New Jersey until such time as both \_\_\_\_\_ (firm name) and its agent(s) thereof are duly registered with the New Jersey Bureau of Securities.

I certify that the foregoing statements made by me are true, I am aware that if any of the foregoing statements made by me are willfully false, I am subject to punishment.

Dated: \_\_\_\_\_

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Title)

STATE OF NEW JERSEY  
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MINIMUM NET CAPITAL CERTIFICATION

The undersigned \_\_\_\_\_, a duly authorized officer of \_\_\_\_\_ (firm name) on behalf of the Broker/Dealer, certify that \_\_\_\_\_ (firm name) is in compliance with the minimum required amount of net capital as specified by the Securities Exchange Act of 1934, Rule 15c3-1.

I certify that the foregoing statements made by me are true, I am aware that if any of the foregoing statements made by me are willfully false, I am subject to punishment.

Dated: \_\_\_\_\_

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Title)

STATE OF NEW JERSEY  
BROKER/DEALER APPLICATION

FILING EXAMINATION AUTHORIZATION

The undersigned \_\_\_\_\_, a duly authorized officer of \_\_\_\_\_ (firm name) on behalf of the Broker/Dealer, authorizes the Bureau Chief, or his or her duly designated representative to examine without notice any filings made by the applicant with FINRA, the New York Stock Exchange, American Stock Exchange, or another national securities exchange per N.J.A.C. 13:47A-1.1 (b).

Dated: \_\_\_\_\_

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Title)