

AGENT OF THE ISSUER REGISTRATION INSTRUCTIONS

Any issuer that is effecting or attempting to effect purchases or sales of securities other than through a registered broker-dealer shall register someone as an “agent,” unless exempted or excluded from agent registration. Only a natural person can be registered as an agent.

Applicable Statutory Provision	<u>N.J.S.A. 49:3-49(b)</u> , <u>N.J.S.A. 49:3-56</u> , <u>N.J.S.A. 49:3-57</u>
Applicable Regulatory Provisions	<u>N.J.A.C. 13:47A-3.3</u> , <u>N.J.A.C. 13:47A-4.2</u> , <u>N.J.A.C. 13:47A-4.3</u>
Application	An Issuer Agent application consists of three items: <ul style="list-style-type: none"> · Uniform Application for Securities Industry Registration or Transfer (Form U4); · Certification and Authorization Form for Criminal History Background Check (NJBOS FORM 4); and · Fee check.
Fee	\$125.00 per application. Make checks payable to New Jersey Bureau of Securities. The check need not be certified.
Examination Requirement	An issuer agent must have passed the Series 7 (General Securities Representative) examination.
Examination Waivers	Examination waivers are routinely granted to Officers and Directors of the issuer, or to bona fide salaried employees of the issuer who demonstrate a specific knowledge of the offering in lieu of securities experience. To request an examination waiver, file Form NJBOS FORM 5 with the Bureau.
Duration and Renewal	Registrations expire annually on December 31. Renewal forms will be mailed to all active agents in October of each year.
Related Issuers	If an agent represents a group of related issuers, the agent need only file one issuer agent application with the Bureau.