

**LICENSING AND REGISTRATION
ASSOCIATED PERSON OF AN ISSUER/DEALER
APPLICATION REQUIREMENTS**

Submit all forms to:
Department of Financial Services
200 E. Gaines Street
Tallahassee, FL 32399-0375

Application Fee: \$50 - make check payable to **Department of Financial Services**

Application Form: Form U-4 Complete and current form with original signatures and recent date.

Fingerprint card and \$42.25 processing fee. *(***Effective 12/25/08 the fingerprint card fee will increase to \$43.25. Any cards received by the Office after the effective date will be subject to the new fee***)*

The fingerprint card must be obtained from the Florida Office of Financial Regulation. A single check including the application fee and the fingerprint card fee is acceptable. A fingerprint card and fee are not required if prints are on file through the FINRA/CRD with a current employer.

Principal Designation:

The application shall include a request for Principal designation for any associated person who intends to act in a Principal capacity on behalf of the Issuer/Dealer firm. After licensure, an Issuer/Dealer must maintain at least one registered associated person designated as a Principal at all times.

Proof of Qualification as an ISSUER/DEALER PRINCIPAL or AGENT:

There is no examination or other qualifying requirement for an Issuer/Dealer associated person provided that 5 or fewer persons register. If an Issuer/Dealer wishes to have more than 5 persons registered, then all of the individuals are subject to the qualification requirements listed below.

A. Individual has passed one of these examinations within 2 years of the date of application

(Only items marked with an asterik (*) will qualify for Principal designation)
Series 6 Investment Company and Variable Contracts Products Representative
Series 7 General Securities Representative Exam
Series 22 Direct Participation Program Representative
Series 24 General Securities Principal *
Series 26 Investment Company and Variable Contracts Products Principal *
Series 27 Financial and Operations Principal *
Series 28 Introducing Broker/Dealer Financial and Operations Principal *

Series 39 Direct Participations Program Principal *
Series 53 Municipal Securities Principal *
Series 65 Uniform Investment Adviser Law Examination *
Series 66 Uniform Combined State Law Examination *

-OR-

B. Individual has evidence of effective registration within the preceding two years, relating to the position to be filled as Principal or agent, with one of these regulatory authorities –

NASD National Association of Securities Dealers
Any national securities association registered with the Securities and Exchange Commission
Any national securities exchange registered with the Securities and Exchange Commission

-OR-

C. Individual has remained continuously registered in the capacity to be filled without interruption of more than two years, with the State of Florida

-OR-

D. Individual currently holds one of the following professional designations:

CFP Certified Financial Planner
ChFC Chartered Financial Consultant
PFS Personal Financial Specialist
CFA Chartered Financial Analyst
CIC Chartered Investment Counselor