



STATE OF NEBRASKA  
DEPARTMENT OF BANKING AND FINANCE

DAVE HEINEMAN  
GOVERNOR

JOHN MUNN  
DIRECTOR

**IMPORTANT RENEWAL NOTICE**

TO: Compliance/Registration Department for Non-FINRA Firms  
FROM: Nebraska Department of Banking and Finance, Bureau of Securities  
RE: 2009 Renewal of Non-FINRA Broker-Dealer & Agent Registrations  
DATE: November 4, 2008

The following Renewal Checklist and Financial Information must be filed with the Nebraska Department of Banking and Finance, Bureau of Securities ("Department"), by Friday, December 19, 2008, to renew the firm's Nebraska broker-dealer registration. Failure to fully comply with renewal requirements will result in termination of the firm's registration and all associated individuals in Nebraska.

**2009 NEBRASKA BROKER-DEALER RENEWAL CHECKLIST:** Carefully complete the enclosed 2009 Nebraska Broker-Dealer Renewal Checklist ("Checklist"). The Department will use the information to process the firm's registration renewal.

**FORM BD:** If there have been any amendments to Form BD since last submission, a complete amended Form BD is to be filed. Form BD is located at <http://www.FINRA.org> *Industry Professionals, Compliance, Registration, CRD, Filing and Guidance.*

**DESIGNATED PRINCIPAL:** Nebraska requires one designated principal for the firm. Please include on the Checklist the name and CRD number of the designated principal who has passed the Series 63 or Series 66 examinations and the appropriate corresponding principal exam.

**AGENTS:** An updated Form U-4, for each officer, director, partner, sole proprietor, agent or other individual who is to be authorized to conduct securities activities in Nebraska must be filed. For **ALL** individuals registered in Nebraska, include a complete Form U-4 and documentary evidence that the individual has met the Department's examination requirements. Any amended or new Form U-4s will be required to be on the current version (October 2005) of the form located at <http://www.FINRA.org> *Industry Professionals, Compliance, Registration, CRD, Filing and Guidance.*

*Location:* Commerce Court • Suite 400 • 1230 'O' Street • Lincoln, Nebraska • 68508-1402  
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Financial Institutions Division  
(402)471-2171

[www.ndbf.org](http://www.ndbf.org)  
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Bureau of Securities  
(402)471-3445

**ANNUAL AUDITED FINANCIAL STATEMENT:** The audited financial statement is required to be filed with the Department within 90 days of the firm's fiscal year end date. Indicate on the Checklist how this filing will be accomplished. If a broker-dealer has a net capital of less than \$25,000.00, it is required to have a surety bond in the amount of \$25,000.00. A copy of the bond must be submitted to renew the broker-dealer registration.

**SIGNED FINANCIAL STATEMENT:** If the annual audited financial statement is dated prior to September 30, or will not be available prior to the renewal deadline of December 31, 2008, a financial statement signed by an officer, director or general partner of the firm must be submitted. The date of the statement must be September 30, 2008 or later.

**FEES:** Nebraska renewal fees are \$250.00 for a broker-dealer and \$40.00 per agent (for agents that are not exempted from formal registration pursuant to Neb. Rev. Stat. 8-1103(3)). Please combine the firm and agent renewal fees into one check. Pay the amount due by corporate check for all Nebraska renewal fees directly to the Department.

**WITHDRAWALS:** If you do not wish to renew your registration in Nebraska, Forms BDW and U-5 should be filed directly with the Department. The forms are located at <http://www.FINRA.org> *Industry Professionals, Compliance, Registration, CRD, Filing and Guidance*.

Any questions you have should be directed to Staff Assistant, Amy Gagner, at 402-471-4944 or email [amy.gagner@nebraska.gov](mailto:amy.gagner@nebraska.gov).