



STATE OF NEBRASKA
DEPARTMENT OF BANKING AND FINANCE

DAVE HEINEMAN
GOVERNOR

JOHN MUNN
DIRECTOR

IMPORTANT RENEWAL NOTICE

TO: Compliance/Registration Department for Non-NASD Firms
FROM: Nebraska Department of Banking and Finance, Bureau of Securities
RE: 2007 Renewal of Non-NASD Broker-Dealer & Agent Registrations
Special Notice to Broker-Dealers & Agents Pertaining to Senior Designations and Form U4s
DATE: October 31, 2006

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 15, 2006, 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.

2007 NEBRASKA BROKER-DEALER RENEWAL CHECKLIST: Carefully complete the enclosed 2007 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.nasd.com> *Registration & Qualifications, Current Uniform Registration Forms.*

DESIGNATED PRINCIPAL: Nebraska requires one designated principal for the firm. Please include on the Checklist the name and CRD number of the designated principal listed on Form BD, Schedule A who has passed the Series 63 or Series 66 examinations and the Series 24, Series 26 or Series 39 examinations.

AGENTS: An amended 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 October 2005 version located at <http://www.nasd.com> *Registration & Qualifications, Current Uniform Registration Forms.*

Location: Commerce Court • Suite 400 • 1230 'O' Street • Lincoln, Nebraska • 68508-1402

Mailing Address: P.O. Box 95006 • Lincoln, Nebraska • 68509-5006

Financial Institutions Division
(402)471-2171

www.ndbf.org

An Equal Opportunity/Affirmative Action Employer

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 less than \$25,000, it is required to have a surety bond in the amount of \$25,000 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 30th or will not be available prior to the renewal deadline of December 31, 2006, 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, 2006, or later.

FEES: Nebraska renewal fees are \$250 for a broker-dealer and \$40 per agent (for agents that are not excluded 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 through CRD if NASD or directly with the Department if Non-NASD. The forms are located at <http://www.nasd.com> Registration & Qualifications, Current Uniform Registration Forms.

Any questions you have should be directed to Staff Assistant, Terri Stutzman at 402-471-3445 or email terri.stutzman@bkg.ne.gov.

2007 Nebraska Broker-Dealer Renewal Checklist

Broker-Dealer: _____

Name of contact person for renewal: _____

Company, if other than Broker-Dealer staff: _____

Phone: _____ FAX: _____

E-Mail: _____

FORM BD: (Check one) AMENDED FORM BD ENCLOSED NO AMENDMENTS

DESIGNATED PRINCIPAL (If this is a new individual, submit a Form U-4 & proof of exams)
If, this is the same individual, has the Form U-4 been amended since last submission?

Yes__ No__. If yes, a current Form U-4 is required to be filed. *Fee only applicable if individual is not listed on Schedule A of the Form BD (Direct Owners/Executive Officers).*

Name of Designated Principal

CRD or Social Security #

AGENTS TO BE RENEWED FOR 2007 (NOT LISTED ON SCHEDULE A): *Renewal fees required.*

Complete name and CRD or Social Security #. If the Form U-4 has been amended, please enclose.

- | | | |
|----|-------|---------|
| 1. | _____ | # _____ |
| 2. | _____ | # _____ |
| 3. | _____ | # _____ |
| 4. | _____ | # _____ |
| 5. | _____ | # _____ |
| 6. | _____ | # _____ |

If there are additional individuals, please list them in your cover letter and provide the following for new 2007 agents: A complete and current Form U-4, proof of exams and a \$40.00 fee for each.

SIGNED FINANCIAL STATEMENT: *Is required only if the Audited Financial Statement is prior to September 30th or will not be available prior to the renewal deadline of December 31, 2006.* The financial statement is to be signed by an officer, director or general partner of the firm.

Check one of the following: **ENCLOSED** **NOT APPLICABLE (see Annual Audited Financial Statement section):**

