



DEPARTMENT OF BANKING AND FINANCE

IMPORTANT RENEWAL NOTICE

TO: Compliance/Registration Department for Non-FINRA Firms

FROM: Nebraska Department of Banking and Finance, Bureau of Securities

RE: 2019 Renewal of Broker-Dealer Registrations

DATE: November 1, 2018

The following Renewal Checklist and Supplemental Information must be filed with the Nebraska Department of Banking and Finance, Bureau of Securities ("Department"), by December 21, 2018, to renew the firm's Nebraska broker-dealer registration. Failure to fully comply with renewal requirements may result in termination of the firm's registration in Nebraska.

2019 NEBRASKA BROKER-DEALER RENEWAL CHECKLIST: Carefully complete the enclosed 2019 Nebraska Broker-Dealer Renewal Checklist ("Checklist"). The Department will use information set forth thereon to process the firm's registration renewal.

FORM BD: Please review the firm's Form BD for updates and/or amendments. If applicable, return the amended Form BD with your renewal submission. An initial Form BD can be found at: http://www.sec.gov/about/forms/formbd.pdf

DESIGNATED COMPLIANCE PRINCIPAL: Nebraska requires one designated compliance principal for the firm. Please include on the Checklist the name of the designated compliance principal listed on Form BD, Schedule A, who has passed the Series 24 and either the Series 63 or Series 66 examinations. If the principal has not passed the Series 24 exam, the firm's registration will be limited, as set forth in 48 NAC 4.006.

AGENTS: Any amendments to Form U-4, for each officer, director, partner, sole proprietor, agent or other individual who will be authorized to conduct securities activities in Nebraska are to be filed. For any individual who will be initially registering in Nebraska, include a complete Form U-4 and documentary evidence the individual has met the Department's examination requirements. Form U-4 can be found at:

http://www.finra.org/web/groups/industry/@ip/@comp/@regis/documents/appsupportdocs/p015112.pdf

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 \$25,000.00, the firm is required to have a surety bond in the amount of \$25,000.00 and a copy of the bond is to be submitted to renew the broker-dealer registration.

<u>CERTIFIED FINANCIAL STATEMENT</u>: If the Annual Audited Financial Statement is dated prior to September 30, 2018, or will not be available prior to the renewal deadline of December 21, 2018, a financial statement prepared as of September 30, 2018, or later, and certified by an officer, director or general partner of the firm attesting that the financial statement is true and accurate, must be submitted.

<u>FEES</u>: Nebraska renewal fees are \$250 for a broker-dealer and \$40 per agent unless exempt. 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.

<u>WITHDRAWALS</u>: If you do not wish to renew your registration in Nebraska, file Forms BDW and U-5 directly with the Department. The forms are located at: http://www.finra.org/Industry/Compliance/Registration/CRD/FilingGuidance/p005235

<u>CITIZENSHIP</u>: Nebraska law requires every individual receiving a public benefit in the form of a professional license from a state agency to provide proof of citizenship or legal presence in the United States. A Roster with instructions will be sent to the firm for completion on individuals who have not been previously verified.

Any questions you have should be directed to Securities Investigation and Compliance Unit Supervisor Rod Griess at 402-471-3445 or email <u>rodney.griess@nebraska.gov</u>.

2019 Nebraska Non-FINRA Broker-Dealer Renewal Checklist

Broker-Dea	ler:
Name of co	ntact person for renewal:
Firm contac	t, if different from above:
Telephone:	FAX:
E-Mail:	
FORM BD	: (Check one) \square AMENDED FORM BD ENCLOSED \square NO AMENDMENTS
proof of ex If this is the	e same individual, has the Form U-4 been amended since last submission? If yes, a current Form U-4 is required to be filed.
Name of De	esignated Principal
AGENTS T	O BE RENEWED FOR 2019 (NOT LISTED ON SCHEDULE A): Renewal fees required.
1.	
2.	
3.	
4	
5	
v	additional individuals, list them in your cover letter and provide the following for new 2019 omplete and current Form U-4, proof of exams and a \$40.00 fee for each unless exempt.
<i>is dated prie</i> 21, 2018. T	ED FINANCIAL STATEMENT: This is required only if the Audited Financial Statement for to September 30,-2018, or will not be available prior to the renewal deadline of December the financial statement is to be certified under the penalty of perjury by an officer, director or ner of the firm.
Check one of	of the following: OENCLOSED ONOT APPLICABLE

ANNUAL AUDITED FINANCIAL STATEMENT

	The firm's fiscal year end is	ne Department no later than 90 days after the
Check one of the follo	owing:	
2018 Annua	l Audited Financial Statement has a	already been filed with the Department.
2018 Annua	l Audited Financial Statement is en	closed herewith.
2018 Annua	l Audited Financial Statement will	be filed with the Department upon completion.
If the firm's net capita with these renewal do	•	d is required and a photocopy is to be submitted
I understand that fa	ilure to fully comply with all rene	that I have authority to execute this document. wal requirements may result in termination
of broker-dealer reg	<u>istration</u> .	
Date	Signature	Printed Name & Title