APPLICATION FOR REGISTRATION OF AGENT

NORTH DAKOTA SECURITIES DEPARTMENT
SFN 51529 (6-2021)

FORM S-5
Securities Department
600 E Boulevard Ave
Bismarck ND 58505
(701) 328-2910
www.securities.nd.gov

INSTRUCTIONS

The answers provided in this application are submitted **UNDER OATH.** Any applicant who willfully and contrary to such oath shall state or subscribe any material fact which he does not believe to be true is guilty of perjury and is punishable by imprisonment in the penitentiary. In addition, registration may be refused, suspended, or revoked if the applicant has filed an application which is incomplete in any material respect or contains any statement which was, in the light of the circumstances under which was made, false or misleading with respect to any material fact.

All questions in this application must be answered legibly, responsively, and fully, and failure to do so may result in rejection of the application. If additional space is required in which to answer a question, attach a separate sheet and specify the number of the question in response to which the answer is given.

TO THE SECURITIES COMMISSIONER OF THE STATE OF NORTH DAKOTA:

Pursuant to the provisions of Section 10-04-10 of the North Dakota Century Code, as amended, the undersigned hereby applies for registration as a securities agent and submits the following **SWORN** answers to the questions contained herein:

1. Name (Last, First, Middle)			
2. Indicate any other name or names (including maiden name) by which you have been known or which you have used. If "none," so state.			
3. Business Address	City	State	ZIP Code
4. Residence Address	City	State	ZIP Code
5. Name of dealer employing or proposing to employ applicant. If applicant proposes to be self employed, so state. If applicant proposes to be employed complete Item 6			

6. If applicant proposes to be self-employed, please indicate so below and state the particular security or securities you propose to sell in this state, including the name of the issuer.

SELF-EMPLOYED: ☐ Yes ☐ No	Securities and Issuer

7. Complete the following employment record for the ten-year period immediately preceding the date of application. BEGINNING WITH THE PRESENT and continuing in chronological order. Where self-employment is applicable, furnish the name under which business was conducted, location, and nature of business. Periods of unemployment must be shown. Indicate reason for resignation or discharge.

From		To		Employer	Address	Position	Reason for Leaving
Month	Year	Month	Year				

8. Are you registered as a representative with the Financial Industry Regulatory Authority (FINRA)? ☐ Yes ☐ No

9. Are you registered as a representative with a national stock exchange? ☐ Yes ☐ No If "yes," with which exchange are you registered and for how long have you been so registered?

10. Have you ever offered for sale or sold securities in the State of North Dakota prior to the date of this application?
☐ Yes ☐ No If "yes," explain fully.

11. List each state (including North Dakota) and province in which you are or have been registered as a dealer or agent to sell securities, specifying the date(s) of such registration(s).

12. Have you ever been denied or been given qualified authority to sell securities in any state or province? ☐ Yes ☐ No

13. Are you now or have you ever been subject to any revocation, cancellation, withdrawal, suspension, or any adverse order or directive of the FINRA, any Canadian self-regulatory association, any securities exchange, or any state, provincial, or federal agency which has the power to revoke, suspend, or deny membership or registration?
☐ Yes ☐ No

14. Have you ever been permanently or temporarily enjoined by any court from engaging in or continuing any conduct or practice involving any aspect of the securities business?
☐ Yes ☐ No

15. Has any broker or dealer with whom you were associated in any capacity when such action was taken ever had its membership or registration denied, canceled, suspended, or revoked or been the subject of any injunctive proceeding involving securities?
☐ Yes ☐ No

16. Have you ever been a direct or beneficial owner of 10% or more of the stock of or interest in or an officer of a securities dealer whose registration was denied, canceled, suspended, or revoked during such period of interest or employment?
☐ Yes ☐ No

17. Have you ever been a subject of any arrests, information, presentments, indictments, or convictions for any felony or misdemeanor, except minor traffic offenses? ☐ Yes ☐ No

18. Have you ever been charged with fraud in civil action? ☐ Yes ☐ No

19. Have you ever been barred or suspended from the practice of any business or profession? ☐ Yes ☐ No

20. (a) Have you ever been refused a surety or fidelity bond? ☐ Yes ☐ No

(b) Has any surety company paid out any funds on your coverage? ☐ Yes ☐ No

21. Have you or any organization owned or controlled by you or in which you were or are an officer, director, or partner ever been the subject of an insolvency or bankruptcy proceeding? ☐ Yes ☐ No

IF YOUR ANSWER TO ANY ONE OF QUESTIONS 12-20 ABOVE IS "YES," FURNISH THE FOLLOWING INFORMATION ON A SEPARATE SHEET OF PAPER INCORPORATED AS A PART OF THIS APPLICATION: NAME OF FEDERAL, STATE, OR PROVINCIAL AGENCY, SECURITIES EXCHANGE, OR SECURITIES ASSOCIATION; NAME AND LOCATION OF BROKER OR DEALER WITH WHOM YOU WERE ASSOCIATED AND CAPACITY IN WHICH YOU WERE ASSOCIATED; DESIGNATION OF STATUTES, RULES, OR REGULATIONS WHICH YOU OR THE BROKER OR DEALER WITH WHOM YOU WERE ASSOCIATED WERE CHARGED WITH VIOLATING AND CHARGES MADE; NATURE AND DATE OF JUDGEMENT, DECISION, OR OTHER FINDINGS MADE, AND SANCTION IMPOSED.

22. Are you currently licensed as an insurance agent? ☐ Yes ☐ No
If "yes," with what company or companies?

23. Please list any securities examinations that you have taken, the date(s) taken and the score(s) you obtained below.

EXAMINATION(S)	DATE(S) TAKEN	SCORE(S)

24. APPLICANT HEREBY UNDERTAKES AND AGREES TO PROMPTLY FILE AMENDMENTS WITH THE COMMISSIONER AT ANY TIME WHEN THE INFORMATION PROVIDED HEREIN IS OR BECOMES INACCURATE OR INCOMPLETE IN ANY MATERIAL RESPECT AND TO PROMPTLY NOTIFY THE COMMISSIONER REGARDING ANY COMPLAINT OR ACTION INVOLVING SECURITIES FILED BY ANY PERSON AGAINST THE APPLICANT OR OF ANY DISCIPLINARY ACTION INSTITUTED OR TAKEN AGAINST THE APPLICANT BY THE EMPLOYING DEALER, THE FINRA OR ANY STATE, PROVINCIAL, OR FEDERAL SECURITIES REGULATORY AGENCY.

Signed and dated this _____ day of _____ Year _____ .

at _____

Printed Name of Signatory
Signature of Applicant

State of _____)
) ss.
County of _____)

The undersigned applicant, being first duly sworn, deposes and says that he has executed the foregoing application: that he has read said application and knows the contents thereof and attached thereto; that to the best of his knowledge and belief the statements made in said application and in any rider attached thereto are true and correct and are complete in every material respect and do not contain any statement which, under the circumstances under which it is made, would be false or would tend to be misleading in respect to any material fact: and that he has read and understands the securities laws of the State of North Dakota.

_____
(Signature of Applicant)

Subscribed and sworn to before me this _____ day of _____ Year _____

_____
(Notary Public)

SEAL

County of _____ State of _____

My Commission expires _____

ENDORSEMENT OF APPLICATION BY
DEALER PROPOSING TO EMPLOY APPLICANT
(Do not complete if the applicant is to be a self-employed agent and Item 6 is marked yes.)

I have examined this application and the answers provided herein. They are true, to the best of my knowledge, information, and belief. I have personally known the applicant named herein for _____ years, and on behalf of my firm, I hereby endorse the applicant as an individual of sufficient knowledge in securities, of good business standing and reputation, and of high moral character, and as one who is worthy of a securities agent's registration.

THEREFORE, in view of the showing made herein, _____
(Dealer proposing to employ applicant)

does respectfully ask that _____
(Applicant)
be registered as a securities agent in conformity with Section 10-04-10 of the North Dakota Securities Act of 1951, as amended.

Signed and sealed this _____ day of _____ Year _____

at _____

Corporate Seal

_____
(Dealer proposing to employ applicant)

By: _____
(President, partner, or proprietor of dealer)