



Note: Before submitting this Form, FINRA strongly encourages you to read and follow its Firm Name Guidelines. Doing so will help ensure that the name you request complies with federal law/regulations (including Regulation BI) and FINRA's By-Laws, and that it is otherwise consistent with the guidelines for proposed names described therein. If you are requesting a broker-dealer name that, although similar to the name of a current member firm, you believe is unlikely to confuse retail investors based on the limited scope of the firm's business, please provide the necessary information referenced in the guidelines.

Firm Name Reservation Request Form

Date:		
Requestor's Name and Title:		
Company:		
Address:		
City:	State:	Zip Code:
Phone:	Fax:	Email:
Request Type: <input type="radio"/> Broker Dealer <input type="radio"/> Funding Portal		
If this request is being made for a current FINRA member firm, please provide the firm's name and CRD Number:		

Please list the name(s) you wish to reserve below. You may provide up to three names in order of preference. FINRA will reserve the highest-ranked name that is acceptable.

Name(s) Requested:	
1.	
2.	
3.	

If the requesting firm has any affiliates that are registered with FINRA, please list the affiliate(s) below:

1.	2.
3.	4.
5.	6.

Please send completed form by mail, fax or email to: FINRA
Regulatory Review and Disclosure Department
9509 Key West Avenue
Rockville, MD 20850
Fax: 301-216-3710
Email: DisclosureReviewOrga@finra.org
For questions, please contact the Gateway Call Center at 301-590-6500.