

Form Written Request Letter

Pursuant to FINRA Procedural Rule 9522(e)(1), [NAME OF MEMBER FIRM] [CRD #] is submitting this formal written request for relief from the eligibility requirements of the FINRA By-Laws. Please forward this request to FINRA's Department of Member Regulation so that it may consider this request.

On [DATE], [MEMBER] filed a Uniform Application for Securities Industry Registration or Transfer (Form U-4) on behalf of [NAME OF DISQUALIFIED PERSON, CRD #]. [NAME OF DISQUALIFIED PERSON] is subject to disqualification, as that term is defined in Article III, Section 4 of the FINRA By-Laws, as a result of being subject to an injunction issued by [NAME OF COURT] on [GIVE EXACT DATE OR, IF EXACT DATE UNKNOWN, GIVE MONTH AND YEAR]. As indicated on [NAME OF DISQUALIFIED PERSON]'s Form U-4, [MEMBER] wishes to register [DISQUALIFIED PERSON] as a [INSERT REGISTRATION CATEGORY/CATEGORIES SOUGHT]. [NAME OF DISQUALIFIED PERSON] [is / will be] supervised by [SUPERVISOR'S NAME, CRD #]

[MEMBER] understands that [DISQUALIFIED PERSON] may not associate with [MEMBER] or otherwise act on behalf of [MEMBER] unless and until the Department of Member Regulation issues written approval of this request. On behalf of [MEMBER], the undersigned represents that [MEMBER] will adhere to this limitation.