# Member Information for Proposed Business Expansion

### GOVERNMENT SECURITIES

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| --- |
| Member Firm: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Contact Person: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Name of Person Completing This Form: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

1. The types of government securities which the firm intends to buy or sell are (check all that apply):

Treasuries

Money Market Instruments

Derivatives of Government Securities

Government Agency REMIC’s/CMO’s

Repo/Reverse Repo

Government Agency MBS

Government Agency Debentures/Notes

Other *(Attach description)*

1. In what capacity will the firm act with respect to transactions in government securities (check all that apply):

Principal

Agent

If engaging in principal transactions, will the firm act as a primary dealer:

Yes

No

If yes, a*ttach* a detailed description of how this activity will be conducted.

1. The firm’s intended customer base for transactions in these securities will be:

Institutional

Retail

Other broker/dealers

**Information and Documentation to be Submitted**

1. Evidence that the necessary person(s) has passed the Government Securities Limited Representative Examination (Series 72).
2. Describe the method of clearance to be used for transactions in government securities.
3. Explain the firm’s procedures for treasury auction processing, if applicable.
4. Attach a copy of the firm’s Written Supervisory Procedures for government securities. Please note that, among other things, these procedures should describe the firm’s commission/markup/markdown policy and should also address compliance with all NASD rules set forth in *Notice to Members 96-66*.