# Member Information for Proposed Business Expansion

**RETAILING CORPORATE EQUITY SECURITIES OVER THE COUNTER; RETAILING CORPORATE DEBT SECURITIES; NON-EXCHANGE MEMBER ARRANGING FOR TRANSACTIONS IN LISTED SECURITIES BY EXCHANGE MEMBER**

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| Member Firm: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Contact Person: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Name of Person  Completing This Form: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

1. Capacity in which the firm will act:

Principal (Will the firm principal trade with customers: Yes: No: )

Agent

Both

1. Identify the firm’s intended customer base (check all that apply):

Institutional

Other broker/dealers

Retail

1. Does the firm intend to advertise? Yes: No:

If yes, which of the following media will the firm utilize:

Print

Radio

Television

Other (Attach description)

1. Will the firm engage in cold calling/telemarketing? Yes: No:
2. Does the firm intend to handle discretionary accounts? Yes: No:

If Yes, provide all information requested in the Discretionary Accounts section below.

1. Does the firm intend to effect transactions in penny stocks? Yes: No:

If yes, does the firm intend to effect transactions in penny stocks for or with customers beyond those transactions exempt under SEC Rules 15g-1 and 15g-9?

Yes: No:

If Yes, be sure to attach a copy of the firm’s Written Supervisory and Compliance Procedures regarding compliance with penny stock rules.

**Information and Documentation to be Submitted**

1. A list of the types of equity/debt/listed (Amex, NYSE, etc.) securities the firm intends to buy and sell and a percentage breakdown by security type.
2. A detailed description of how these transactions will be executed and cleared.