



Custodian Consent Form

Please submit the consent form by email to BDW@finra.org. If you are unable to submit the consent form via email, please contact FINRA Gateway at (301) 869-6699 to make alternative arrangements.

1. You hereby consent to act as the custodian of the books and records for

[Broker Dealer Name]

[CRD No.]

(hereinafter the “**Withdrawing Broker-Dealer**”) upon the filing of the **Withdrawing Broker-Dealer’s** Uniform Request for Broker-Dealer Withdrawal (Form BDW).

2. You represent that prior to providing your consent to act as the custodian, the **Withdrawing Broker-Dealer** informed you of your obligations under FINRA rules, including FINRA Rule 4570, as well as under the Securities Exchange Act of 1934.
3. You agree to retain the books and records provided to you by the **Withdrawing Broker-Dealer** for the duration of the applicable retention periods, including the retention periods specified under FINRA rules as well as under the Securities Exchange Act of 1934.
4. You agree to retain the books and records provided to you by the **Withdrawing Broker-Dealer** in the manner in which you received them from the **Withdrawing Broker-Dealer** without any alteration or deletion, provided that, for retention purposes, you may convert such books and records into another format acceptable under the Securities Exchange Act of 1934 so long as such books and records are not altered or deleted during the conversion process.
5. You agree to provide the books and records provided to you by the **Withdrawing Broker-Dealer** to FINRA staff upon request during the course of their retention periods.
6. If you are a member firm, you agree to treat the books and records provided to you by the **Withdrawing Broker-Dealer** as if they were your own books and records, and you agree that upon your termination as a member firm you will arrange for the books and records provided to you by the **Withdrawing Broker-Dealer** to continue to be retained for the remainder of the applicable retention periods in the same manner as your own books and records consistent with FINRA Rule 4570.

By signing below, you confirm that you understand the above-specified obligations and responsibilities.

FOR ASSOCIATED PERSON OF WITHDRAWING BROKER-DEALER DESIGNATED AS CUSTODIAN

[name of associated person]

[signature of associated person]

[date]

FOR MEMBER FIRM DESIGNATED AS CUSTODIAN

[member firm name & CRD No.]

[name of authorized agent signing on behalf of member firm]

[signature of authorized agent]

[date]