



Sent via email

September 1, 2020

Sydney Jones
Street Address
City, State, Zip code

Notice of Denial of Financial Services Affiliate Waiver Program (FSAWP) Designation

Dear Sydney Jones:

This letter is to inform you that FINRA has reviewed your FSAWP Designation Request Form. After a careful review of the information, FINRA has concluded that you do not meet FSAWP eligibility condition(s) for the following reasons:

- ☐ You have not been registered as a representative or principal for a total of five years within the most recent 10-year period.
- ☐ You have not been registered with the member firm as a representative or principal for at least one year prior to the request for FSAWP designation.
- ☐ The date of your request is more than 30 days after your termination date on the Form U5.

If you have any questions or concerns regarding the FSAWP eligibility conditions, refer to [FINRA Rule 1210.09](#) or the [FSAWP Guidelines](#). If any clarification of this notice is required, contact FINRA at fsawp@finra.org.

Thank you,

FINRA Waivers Team

Cc: Member Firm