# Member Information for Proposed Business Expansion

### INVESTMENT ADVISORY SERVICES[[1]](#footnote-1)

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

# 

**Information and Documentation to be Submitted**

1. Describe the nature of the investment advisory activities that will be permitted.
2. If the firm will permit registered representatives who are also registered investment advisers to engage in any activities away from the firm that would trigger NASD Rule 3030 or Rule 3040 requirements as set forth in *Notices to Members 94-44* or *96-33*, submit an explanation as to how the firm will fulfill its obligations under those rules.
3. The firm should also submit the compliance and supervisory procedures it will implement to monitor these activities and achieve compliance.
4. Describe how an associated person’s investment advisory and registered representative activities will be separated or combined.

1. The scope of inquiry and review by NASD Regulation staff in this area is limited to the specific matters referenced in the questions set forth below. [↑](#footnote-ref-1)