# Member Information for Proposed Business Expansion

### STAFFING/ASSOCIATED PERSONS

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

1. The firm intends to employ \_\_\_\_\_\_\_\_\_\_ additional associated persons.
2. The proposed additional associated persons fall into the following categories:

Registered Representatives Cold Callers

Traders Assistant Traders

Sales Assistants Customer Service Reps.

Other (Attach description)

1. Will the firm be employing any additional supervisors to supervise the proposed additional associated persons? Yes: No:
2. Are any of the proposed supervisors not qualified as General Securities Principals of the firm? Yes: No:

If Yes, attach a detailed description of their intended duties and in what other principal capacity they are or plan to be registered.

1. Are the additional associated persons being acquired from another broker/dealer?

Yes: No:

If Yes, the other broker/dealer is: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Attach an explanation of the circumstances surrounding the acquisition.

**Information and Documentation to be Submitted**

1. Provide an organizational chart reflecting the firm’s supervisory structure, before and after the proposed expansion (assuming the application is approved). This chart must include the name and function of each associated person (if known), and the name and CRD number of the Sales Supervisors and compliance personnel to whom they report or will report.
2. Describe the manner in which proposed supervisors will be compensated (i.e., salary, commission, override, etc.).
3. A description of how the firm’s facilities will be adequate for the additional associated persons, pursuant to the standard in Rule 1014(a). You may include with this description a copy of a floor plan for the facilities or such other descriptive document(s).
4. Provide an explanation of how the firm’s compliance function will effectively manage the anticipated additional volume to be generated by the proposed additional associated personnel. Describe in detail any additional compliance systems, procedures, or personnel added or to be added, if any, to support the modification requested.
5. Provide an explanation of the costs involved in employing such additional personnel and how the firm will meet such additional expenses.