



Note: Before submitting this Form, FINRA strongly encourages you to read and follow its Firm Name Guidelines. Doing so will help ensure that the name you request complies with federal law/regulations (including Regulation BI) and FINRA's By-Laws, and that it is otherwise consistent with the guidelines for proposed names described therein. If you are requesting a broker-dealer name that, although similar to the name of a current member firm, you believe is unlikely to confuse retail investors based on the limited scope of the firm's business, please provide the necessary information referenced in the guidelines.

**Firm Name Reservation Request Form**

Date:		
Requestor's Name and Title:		
Company:		
Address:		
City:	State:	Zip Code:
Phone:	Fax:	Email:
Request Type: <input type="radio"/> Broker Dealer <input type="radio"/> Funding Portal		
If this request is being made for a current FINRA member firm, please provide the firm's name and CRD Number:		

**Please list the name(s) you wish to reserve below. You may provide up to three names in order of preference. FINRA will reserve the highest-ranked name that is acceptable.**

Name(s) Requested:	
1.	
2.	
3.	

**If the requesting firm has any affiliates that are registered with FINRA, please list the affiliate(s) below:**

1.	2.
3.	4.
5.	6.

Please send completed form to FINRA:  
Fax: 301-216-3710  
Email: DisclosureReviewOrga@finra.org  
For questions, please contact the Gateway Call Center at 301-590-6500.