

FINRA
Exchange Act Rule 15b9-1 (As Amended)
Proprietary Trading Firm Application Form

This Application Form is for Eligible Firms that must become FINRA members due to amended Exchange Act Rule 15b9-1. Applicants are reminded to register all associated persons whose registrations are approved with FINRA in registration categories recognized by FINRA.

To apply, please complete and submit this Application Form via email to ProprietaryTrading@finra.org. Applicants are required to update any information submitted in this Application Form when and if it becomes inaccurate or incomplete after submission.

General Company Information

Firm Name

Date

Address

City State Zip

Central Registration Depository® (CRD) Number

Contact Name (For Questions Concerning this Application)

Contact Title

Telephone

Facsimile

Email

Nature of Business Activity with FINRA

An Applicant must: (1) identify its current business activities, including whether such current business activities are limited to the activities that have necessitated FINRA membership due to the narrower exemption from national securities association membership under amended Exchange Act Rule 15b9-1; and (2) assess whether it will be requesting additional business lines as part of this application process. Please note that the request for additional business lines may divert the application from the streamlined process reserved for applicants applying for FINRA membership due to the amendments to Exchange Act Rule 15b9-1 to the more comprehensive FINRA new member application (NMA) process, including application of all related fees.

Executive Representative

An Applicant must identify an Executive Representative as required by Article IV, Section 3 of the By-Laws of FINRA. Please provide the name and CRD number of the Executive Representative:

Name

Title

Central Registration Depository (CRD) Number
