



## **INSTRUCTIONS FOR AGENT OF ISSUER APPLICATIONS**

The following should be submitted to the Department of Finance, Securities Bureau:

**FORM U-4** The Form U-4 is the uniform application for securities industry registration of individuals to sell securities. For those persons applying to sell securities for an *issuer*, some of the questions are not applicable.

Please use the Form U-4 Instructions to complete the form, modifying the answers for the following questions:

- Mark as "N/A" (**or leave blank**) each question or partial question asking for a CRD number. [**Exception:** *if the applicant has previously been licensed in the broker-dealer industry, provide his/her CRD number.*]
- Mark as "N/A" (**or leave blank**) questions 1 [billing code only], 2, 3, 4, 5, 6, 7, 8 and 15C: the Temporary Registration Acknowledgement.

The applicant must complete the signature area at the bottom of section 15A, and an officer of the issuer must complete the signature area at the bottom of section 15B. Original signatures are required.

**NON-REFUNDABLE AGENT LICENSING FEE OF \$50** (All licenses expire on December 31 of each year.)

**\$10,000 SURETY BOND** [**Exception:** *A waiver of the bond requirement is granted to up to two officers of the issuer. The bond is required of any other officers wishing to apply as agents. (See Rule 83.02(c) pursuant to the Act)*]

**PROOF OF EXAMINATIONS** (Series 63 or Series 66 and one general securities examination) [**Exception:** *A waiver of the examination requirement is granted to up to two officers of the issuer. Examinations are required of any other officers wishing to apply as agents. If an officer acting as agent of issuer is licensed for more than one fund or offering during a five year period, he must pass the Series 63 or Series 66 examination plus one general securities examination. (See Rule 83.02(c) pursuant to the Act)*]

[**SEE: Idaho Code § 30-14-406 and Rule 83.02 pursuant to the Uniform Securities Act (2004)**]

### SECURITIES BUREAU

800 Park Boulevard, Suite 200, Boise, ID 83712

Mail To: P.O. Box 83720, Boise ID 83720-0031

Phone: (208) 332-8004 Fax: (208) 332-8099

<http://finance.idaho.gov>