



GOVERNMENT OF PUERTO RICO
OFFICE OF THE COMMISSIONER OF FINANCIAL INSTITUTIONS

AGENTS

The requirements for registration as agent are the following:

NEW REGISTRATION

- a) an application for registration on Form U-4 or our Form R-2
- b) a bond in the amount of \$2,000 on Form R-7
- c) the appointment and application for registration as agent on Form R-8
- d) notice of engagement or termination of services of an agent on Form R-9
- e) an initial fee of \$150.00 with check payable to the Secretary of the Treasury, and;
- f) evidence of *FINRA* examination (in absence of this evidence it is necessary to comply with the examination requirement of Article 7 of our Regulations).

RENEWALS

Since registration is effective for a one (1) year period, they must be renewed each year so as to keep them current.

A renewal of a registration is accomplished by filing;

- a) Form U-4 or our Form R-2 at least fifteen (15) days prior to the expiration date of the registration. Only the first four (4) items and the execution need to be filled out. Exhibits and the other information called for by Form R-2 may be incorporated by reference if kept current.
- b) The renewal fee of \$150.00 with check payable to the Secretary of the Treasury.

Enclosed are copies of each of the above mentioned forms. The U-4 Form is also acceptable for filing in Puerto Rico.

If you have any questions related with the above, please contact Mariel Martínez at (787) 723-3131 ext. 2309 or (787) 723-8403.



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**APPLICATION FOR REGISTRATION, RENEWAL OR AMENDMENT TO AN
APPLICATION OF AN AGENT**

Check the appropriate box:

- Application for Initial Registration
- Application for renewal of registration
- Amendment to an application

1. Name of Applicant _____

Social Sec. No. _____

CRD No. _____

2. Home Address of Applicant _____

3. Name and Address of issuer whom Applicant will represent .

4. Address and telephone number of Applicant's regular place of business in Puerto Rico _____

5. Date and place of birth _____ Citizenship _____

6. How long has Applicant lived in Puerto Rico _____

7. Summarize Applicant's educational background, including schools attended, dates of attendance and degrees received.

8. Summarize Applicant's occupation for the last 10 years, including names and addresses of employers, dates of employment and a general description of the duties of each employment.

9. Has Applicant engaged in the securities business on a full-time basis for the 5 years immediately preceding the date of filing of this application?



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10. Describe Applicant’s proposed method of doing business, including (1) whether Applicant will specialize in any type of business or securities, (2) whether Applicant will devote his full time to the securities business, and if not, the approximate percentage of Applicant’s time which will be devoted to the securities business, (3) whether Applicant will solicit employment as an issuer’s agent from issuers of securities.

11. State whether Applicant:

	Yes	No
(a) Has ever been convicted of any misdemeanor involving a security or any aspect of the securities business?		
(b) Has ever been convicted of any felony?		
(c) Has ever been permanently or temporarily enjoined from engaging in, or continuing any conduct practice involving any aspect of the securities business?		
(d) Has ever been the subject of an order of the Administrator denying, suspending or revoking registration as a broker-dealer, agent or investment adviser?		
(e) Has ever been the subject of an order entered by the Securities Administrator of any other state or by the Securities and Exchange Commission denying or revoking registration as a broker-dealer, agent or investment adviser?		
(f) Has ever been the subject of an order of the Securities and Exchange Commission suspending or expelling him from a national securities exchange or national securities association registered under the Securities Exchange Act of 1934?		
(g) Has ever been adjudicated as bankrupt or insolvent?		
(h) Has ever been censured or fined, suspended or expelled by the National Association of Securities Dealers, Inc. or by any stock exchange?		
(I) Has ever been the subject of a United States Post Office Fraud Order?		
(j) Has ever been sued civilly for fraud, deceit or misrepresentation?		

If the answer to any of the foregoing questions is in the affirmative furnish the complete details including the date and a statement concerning the current status of the case.

If during the period of your registration an event occurs which cause a current affirmative answer to any part of item 11, the Assistant Commissioner of the Securities Regulation Division shall be notified in writing as to the facts relative to such event.

12. Has Applicant ever been known by another name?_____ If so, what name and when and by whom was name changed_____



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13. The following exhibits are to be filed herewith.

- I. A bond in the amount of \$2,000.00 as required by Section 6.7.2 (b) of the Regulation under the Uniform Securities Act of Puerto Rico.



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CONSENT TO SERVICE OF PROCESS

The Applicant irrevocably appoints the Commissioner of Financial Institutions of Puerto Rico, and his successors in Office, its attorney upon whom may be served any notice, process or pleading in any non-criminal action or proceeding against it arising out of or in connection with the purchase or sale of securities, the conduct of the securities business or the business of an investment adviser, or violation of the Uniform Securities Act of Puerto Rico; and the undersigned does hereby consent that any such action proceeding against it may be commenced in any court of competent jurisdiction and proper venue by service of process upon said officer with the same effect as if the undersigned has been personally served with process in said jurisdiction.

It is requested that a copy of any notice, process or pleading served hereunder be mailed to the address given in Item 3 and 4.

EXECUTION

I, the undersigned Applicant, being duly sworn on oath, state that I have read and knowingly made the foregoing statements and representations and that each and all such statements and representations are true, and ask that the license herein applied for be granted. If the foregoing is an amendment to a current registration the undersigned represents that the statements made in the amendment and in the current registration to the extent not corrected by the amendment, are true, correct, and complete.

Date of signing

Signature of Applicant

Affidavit Number: _____

Subscribed and sworn to before me by _____ of legal age, _____,

and resident of _____ personally known to me this ___ day of _____ of 20___, at

_____.

Notary Public

A filing fee of \$150.00 as required by Section 6.7.2 (b) of the Regulation under the Uniform Securities Act of Puerto Rico must accompany this application in the form of check or money order drawn to the "Secretary of the Treasury"



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GENERAL INSTRUCTIONS

1. This Form must be typewritten and filed with the Office of the Commissioner of Financial Institutions.
2. A Form which is not prepared and executed in compliance with applicable requirements may be returned as not acceptable for filing. However, acceptance of this Form shall not constitute any finding that it has been filed as required or that the information submitted is true, correct, or complete.
3. If this is an application for initial registration all items in the Form must be answered in full.
4. If this is an application for renewal of registration, it should be filed not later than fifteen (15) days prior to the expiration date of the previous registration.
5. If this is an amendment or renewal to an application, fill in Items 1, 2, 3 and furnish the corrected information in the corresponding item.
6. If the information contained in the application is or becomes inaccurate for any reason, it is the responsibility of Applicant to file an amendment on Form R-2 immediately, correcting such information. (See Instruction Number 5).
7. If the space for any answer is insufficient, the complete answer shall be prepared on a separate sheet which shall be attached to the Form and identified as "Answer to Item" and reference thereto shall be made under the item on the form.