



Issuer Agents: How to Register in Puerto Rico

The requirements for registration as issuer agent are the following:

NEW REGISTRATION

Submit the following documents:

1. An application for registration on Form U-4 or our Form R-2
2. A bond in the amount of \$2,000.00 on Form R-7
3. The appointment and application for registration as agent on Form R-8
4. Notice of engagement or termination of services of an agent on Form R-9
5. An initial fee of \$150.00 with check payable to the Secretary of the Treasury, and
6. Evidence of *FINRA* or *NYSE* examination (in absence of this evidence it is necessary to comply with the examination requirement of Article 7 of our Regulation).

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:

1. 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.
2. The renewal fee of \$150.00 with check payable to the Secretary of the Treasury.

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

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