

INFORMATION KIT

(Two Copies of Each Document)

- 1) Copy of most recent complete Form BD.
- 2) Most recent Focus IIA Report.
- 3) Latest monthly financial statements (Balance Sheet, Income Statement, Trial Balance and Net Capital Computation).
- 4) Copy of most recent complete Form U-4 for principals/owners.
- 5) Latest Annual Audit report.
- 6) FINRA Membership Agreement.
- 7) FINRA Certificate of Approval.
- 8) Copy of latest FINRA and SEC examination reports and firm response.
- 9) SEC approval letter.
- 10) Evidence of Organization (Articles of Incorporation or Organization, By-Laws, Membership Agreement).
- 11) Copy of most recent tax return.
- 12) Copy of Clearing Agreement, if applicable.
- 13) SIC (Lost and Stolen Securities Program) Form.
- 14) CRD Status Report evidencing payment of FINRA and State Registration Fees.
- 15) Copy of Fidelity Bond, and evidence of payment.
- 16) Evidence of most recent SIPC payment.
- 17) Copy of Written Supervisory Procedures.