

**DUE ANNUALLY on or before
December 31st of the current year**

Non-FINRA Broker-Dealer Renewal

Name of Broker-Dealer _____

Address _____

City _____ State _____ Zip Code _____

Your Michigan Broker-Dealer number: **NON-** _____
(This is NOT your CRD number)

Contact person name and title _____

Contact person phone number _____

Contact person email address _____

Check if your address has changed since your last renewal

Tax ID number (FEIN) _____

Does Broker-Dealer maintain a Michigan branch office?
 Yes No
If yes, please attach a list of Michigan branch office locations.

Agent listing

List each agent of this broker-dealer. You may use the space below, or attach a substitute list prepared on your office automation equipment.

1 Name of agent _____

Home address (must be street address--no PO Boxes) _____

City _____ State _____ Zip Code _____

Agent Social Security Number _____

3 Name of agent _____

Home address (must be street address--no PO Boxes) _____

City _____ State _____ Zip Code _____

Agent Social Security Number _____

2 Name of agent _____

Home address (must be street address--no PO Boxes) _____

City _____ State _____ Zip Code _____

Agent Social Security Number _____

4 Name of agent _____

Home address (must be street address--no PO Boxes) _____

City _____ State _____ Zip Code _____

Agent Social Security Number _____

Renewal Fee Calculation—Each Non-FINRA Broker-Dealer firm is subject to a \$300 renewal fee PLUS a \$65 per agent renewal fee.

Complete table below.

	Quantity	Amount Due
Broker-Dealer Renewal	1	\$300.00
Agent Renewal (quantity x \$65.00)		
TOTAL — <i>Make check for full amount due payable in US dollars to: State of Michigan</i>		

C3 Validation code: 8

Mail completed form and any attachments with payment to:

OFIR-Securities Section
 611 W Ottawa St
 PO Box 30701
 Lansing MI 48909-8201

Certification

I swear under penalty of perjury that the information given in and attached to this application is true, complete and correct. I understand that Michigan requires broker-dealer audited financial statements to be submitted within 90 days from the end of the firm's fiscal year, and another unaudited financial statement with net capital computation as of a date six months after the audited statement.

Signature of officer, member or owner _____	Date signed _____	Signer's name and title (typed or printed) _____
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Authority: PA 551 of 2008. Failure to properly file will result in expiration of your registration.



Michigan Department of Energy, Labor & Economic Growth

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