

INSTRUCTIONS
AGENT OF THE ISSUER APPLICATION (Form U-4)

The Form U-4 is a uniform form to license persons to sell securities, most often used in the broker-dealer industry. For those persons applying to sell securities for an issuer, some of the questions are not applicable.

Please use the Specific Instructions to complete the Form U-4 for each agent of the issuer applicant, modifying the answers only 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 completes the signature area at the bottom of section 15A, and an officer of the employer completes the signature area at the bottom of section 15B. We require original signatures.

For each “yes” answer to the questions in section 14, the applicant must complete and submit the appropriate Disclosure Reporting Page as outlined in the Specific Instructions to Form U-4. Include the completed Form U-4, and a non-refundable fee of \$50 for each Form U-4, with the remainder of the registration application materials being submitted to the Division of Finance and Corporate Securities. This fee may be included in the check being submitted for the registration fees.

If you have any further questions about Form U-4, please call our office at (503) 378-4140 and ask for the securities registration section.