

ASA HUTCHINSON  
GOVERNOR

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COMMISSIONER



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## ARKANSAS SECURITIES DEPARTMENT

### AGENT OF THE ISSUER REGISTRATION REQUIREMENTS

**1. From U-4 Information**

The most current Form U-4 is the only acceptable application form and must be executed in type or printed legibly. All signatures on the application are to be original.

**2. Registration Fee**

A Fee of seventy-five dollars (\$75.00) is required for filing an application.

**3. Additional Exhibits & Requirements**

Attach the following required exhibits:

- a. Proof of passing the Securities Industry Essentials Exam (SIE).
- b. Proof of passing the Uniform Securities Agent Law Examination (Series 63 or Series 66).
- c. Proof of passing the appropriate FINRA sales examination.
- d. A \$25,000 Agent Surety Bond.

**4. Proof of processed FBI fingerprint background check.**