



## ARKANSAS SECURITIES DEPARTMENT

### AGENT OF THE ISSUER REGISTRATION REQUIREMENTS

**The Securities Act and Rules of the Arkansas Securities Commissioner require that an Agent of the Issuer applicants submit the following to the Arkansas Securities Department:**

1. **Form U4.** Complete the most current Form U4 application form, in accordance with the form instructions. The form must be executed in type or printed legibly. All signatures on the application are to be original and any attachments required by the instructions on the Form U4 must be included.
2. **Registration Fee.** The seventy-five dollars (\$75.00) initial agent registration fee specified in Ark. Code Ann. § 23-42-304(a)(2).
3. **FBI Fingerprints.** Proof of processed FBI fingerprint background check.
4. **Surety Bond.** A Surety Bond in the amount of \$25,000.00.
5. **Form U10.** Submission of Form U10, in accordance with the form instructions and proof of compliance with the examination requirements of the examination requirements of Rule 302.01(c), (the Uniform Securities Agent State Law Examination (Series 63) and the appropriate FINRA sales examination.)