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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. **Additional Exhibits & Requirements.** Attach the following required exhibits:
 - a. Proof of passing the Securities Industry Essential 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.