



Department of Commerce

Division of Securities
77 South High Street, 22nd Floor
Columbus, Ohio 43215-6131
Telephone (614) 644-7381

This letter is directed to your attention in response to your request for information on obtaining an Ohio Dealer's license pursuant to R.C. 1707.15. Please use the following procedures:

- File electronically Form BD through the Web CRD. This is accomplished by checking Ohio's box on the Form BD and submitting the form.
- The Ohio Dealer fee of \$200.00 will automatically be deducted from your account with Web CRD.

Once you have filed the Form BD through the Web CRD, you will need to complete the following:

- 1) File directly with the Division an **original** signed and notarized **Dealer Questionnaire and Affidavit: Prior Sales**.
 - If the firm has made prior sales in Ohio, you must still complete the Dealer Questionnaire and Affidavit: Prior Sales. In addition, you will also need to attach a list of the transactions made with the following information:
 - If the prior sales transactions are exempt, you need to state which exemption(s) they fall under.
 - If the prior sales transactions are not exempt, for each transaction you **must** to supply the accountholder's name, address and telephone number; name of the security; date and amount of the trade, including the commission paid to the Dealer and Agent; and the Agent who effected the transaction.
- 2) Pursuant to Revised Code 1707.15(C), please **confirm in writing the natural person selected by the firm to serve as the Designed Principal**. Ohio Requires that the firm's designated principal be a person included on the Direct Owner/Executive Officers, or Indirect Owner listing on the CRD, and have a passing test* score to qualify as a Principal.
- 3) To request Ohio registration for your designed principal and any other representatives, you must check Ohio's box on their Form U-4.
 - In a separate cover letter, state the name and CRD number of the person the firm will be designating as the designated principal in Ohio.
 - Check Ohio's box on the principal's Form U-4.

* Principal Exams accepted; Series 4, 24, 26, 39, 53 or 66.

Sincerely,

Kelly Igoe
Licensing Administrator

Revised 09/2017