

WAC 460-20B-030 Registration procedure. (1) Broker-dealers that are members of the Financial Industry Regulatory Authority must:

(a) Submit Form BD designating Washington as a state in which the broker-dealer requests registration to the Central Registration Depository together with the required fee; and

(b) Submit to the securities division in a form acceptable to the administrator such additional information as the administrator may require.

(2) Broker-dealers that are not members of the Financial Industry Regulatory Authority must submit the following to the securities division:

(a) A check for the required fee made out to "state treasurer";

(b) A complete Form BD;

(c) Balance sheet as of a date not more than ninety days before the date of filing, and computation of net capital and aggregate indebtedness ratio of the same date as the balance sheet;

(d) A copy of any subordination agreement;

(e) Proof of passage of qualifying examinations by the designated principals;

(f) Such other information as the administrator may require.

[Statutory Authority: RCW 21.20.450. WSR 14-10-040, § 460-20B-030, filed 4/29/14, effective 5/30/14. Statutory Authority: RCW 21.20.070 and 21.20.450. WSR 95-16-026, § 460-20B-030, filed 7/21/95, effective 8/21/95.]