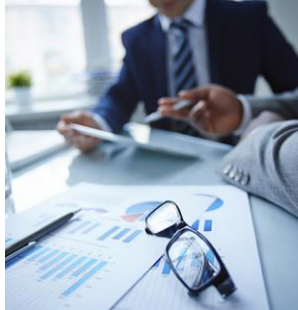


Broker/Dealer Registration Services

“...The regulatory application process is complex and requires significant planning...”



Bovill provides comprehensive U.S. broker/dealer registration services to companies looking to form a new broker/dealer, acquire an existing firm or expand their business activities. Our team of experienced professionals can help you navigate the multifaceted SEC and FINRA application process as well as state registrations.

Types of broker/dealer registrations are varied, each with their own unique requirements. The various types of broker/dealers include:

- Introducing broker/dealer established to conduct a retail brokerage business
- Institutional brokerage operations with research capabilities
- Mutual fund distributors
- Funding portal broker/dealers
- Capital acquisition brokers.

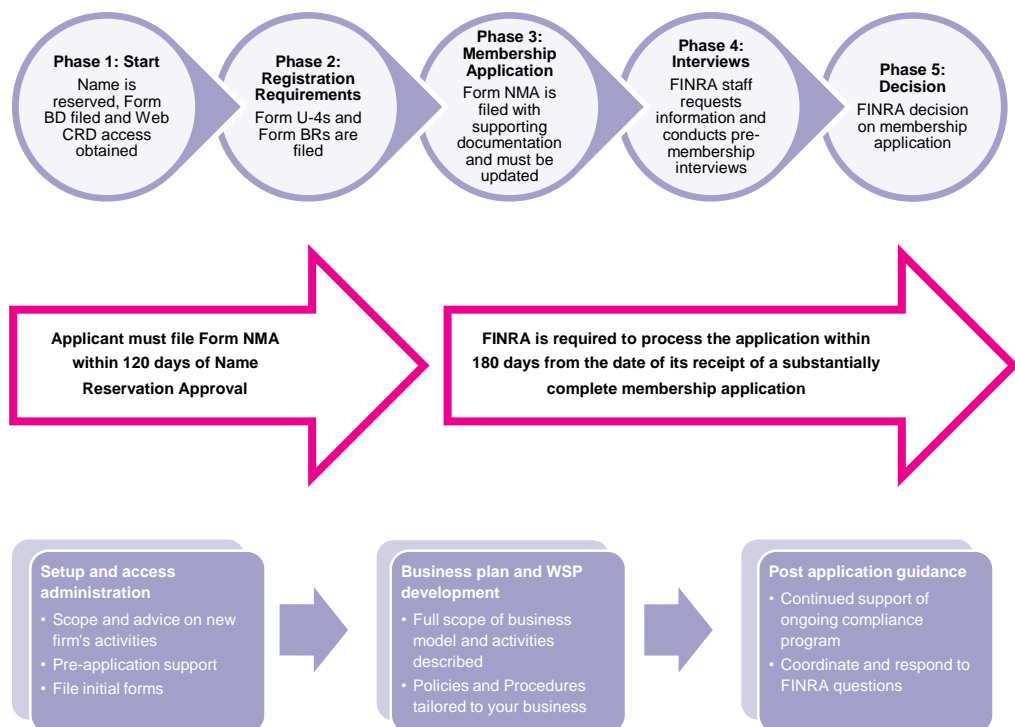
In preparing the regulatory application and the firm’s compliance policies and procedures, we consider your specific business model, the complexity of the business, types of compliance and operational protocols that need to be developed, and ownership structure.

The application process is complex and requires significant planning. Some of the wide-ranging documents that need to be submitted with the New Member Application (NMA) are:

- A detailed regulatory business plan tailored to your specific business
- Ownership and management organizational charts with detailed information about ownership and control persons
- A marketing plan
- A business continuity plan
- An anti-money laundering program
- Written supervisory procedures
- Detailed financials and sources of net capital
- A Form U4 (Uniform Application for Securities Industry Registration) for each registered representative and principal
- Fingerprint cards for every associated person
- Continuing education needs analysis and written training plan.

We work with you to prepare and compile the application, along with a myriad of other required forms. We walk you through the entire process and act as a liaison between you and the FINRA examiner assigned to your application. We work with you to make sure the application is complete and detailed to make the process go as quickly and smoothly as possible.

Broker/dealer registration process and timeline



Having Bovill's specialist assistance in preparing and filing your FINRA application can make all the difference in terms of timing and avoiding unnecessary delays.

For more information on Bovill's broker/dealer services or to request a proposal for your specific compliance needs, please contact us at 312-600-9992 or at info@bovill.com.