



Connecticut Broker-dealer Supplement

Applicant Information

Applicant Name: _____
Exact Name of Broker-dealer Applicant as Stated in Item 1 of Form BD

IRS Number: _____
Applicant's IRS Employer Identification Number

Applicant CRD Number: _____

Connecticut law provides that no broker-dealer may be registered without the registration of at least one broker-dealer agent. Please list the name(s) and CRD number(s) of the agent(s) applying for Connecticut registration through the CRD System here:

<i>Agent Name</i>	<i>Agent CRD Number</i>

Pre-Existing Clients

<input type="checkbox"/>	The undersigned certifies, on behalf of the aforementioned applicant for broker-dealer registration, that, during the two year period immediate preceding the date of its Connecticut broker-dealer application, the applicant has not transacted business as a broker-dealer in Connecticut, and, if the applicant is based in Connecticut, that the applicant has not transacted business as a broker-dealer in Connecticut or from Connecticut with persons located in another jurisdiction.
<input type="checkbox"/>	The undersigned certifies, on behalf of the aforementioned applicant for broker-dealer registration, that, during the two year period immediately preceding the filing of its Connecticut broker-dealer application, the applicant (you may check more than one box):
<input type="checkbox"/>	Has transacted business as a broker-dealer in Connecticut.
<input type="checkbox"/>	Is based in Connecticut and has transacted business as a broker-dealer from Connecticut with persons located in another jurisdiction.
	<p><i>Attach a Separate Schedule Providing the Following:</i></p> <ul style="list-style-type: none"> • <i>Each customer's name and address</i> • <i>The date(s) the transactions were effected</i> • <i>Copies of written confirmations and monthly statements</i> • <i>How each customer or client was introduced to the broker-dealer</i> • <i>The names and CRD numbers of the agent(s) who handled each transaction</i> • <i>The exclusion or exemption, if any, under the Connecticut Uniform Securities Act upon which the applicant relied in transacting business with each customer</i>

Certification Concerning Statements of Financial Condition

	The undersigned certifies, on behalf of the aforementioned applicant for broker-dealer registration, that the statement(s) of financial condition submitted in connection with such application pursuant to Section 36b-9 of the Connecticut Uniform Securities Act are, to the best of the applicant's own knowledge true, and that neither the principal, nor any member, partner, officer or director of the applicant, as the case may be, has any proprietary interest in any account classified solely as that of a customer except as follows:

Undertaking Not to Transact Business as a Broker-dealer Absent Registration

	The undersigned undertakes, on behalf of the aforementioned applicant for broker-dealer registration, that the applicant will not transact business as a broker-dealer in or from Connecticut until effectively registered as a broker-dealer in this state.
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Workers' Compensation Coverage

	Section 31-286a(b) of the Connecticut General Statutes provides that "[o]n and after October 1, 1986, no state department, board or agency may renew a license or permit to operate a business in this state unless the applicant first presents sufficient evidence of current compliance with the workers' compensation insurance coverage requirements of section 31-284."
	Subsection (d) of Section 31-286a states, in part, that "[f]or purposes of this section, 'sufficient evidence' means (1) a certificate of self-insurance issued by a workers' compensation commissioner pursuant to section 31-284, (2) a certificate of compliance issued by the Insurance Commissioner pursuant to section 31- 286 . . . [or] (3) a certificate of insurance issued by any stock or mutual insurance company or mutual association authorized to write workers' compensation insurance in this state or its agent"
	<i>If you have questions about how Section 31-286a or Section 31-284 of the Connecticut General Statutes applies to you, please direct them to your attorney or to the Workers' Compensation Commission at (860) 493-1500 rather than to the Department of Banking.</i>
	The Applicant represents as follows (only check one box):
<input type="checkbox"/>	The Applicant will not be operating a business in Connecticut within the meaning of Section 31-286a(b) of the Connecticut General Statutes and is not subject to Section 31-284 of the Connecticut General Statutes.
<input type="checkbox"/>	The Applicant will be operating a business in Connecticut within the meaning of Section 31-286a(b) of the Connecticut General Statutes and has attached a copy of the certificate required by that section.

Signature

	The undersigned, being duly sworn, does hereby certify, on behalf of the above Applicant for broker-dealer registration under the Connecticut Uniform Securities Act that he or she is authorized to execute this Connecticut Supplement on behalf of the Applicant; that the information contained herein, including any schedules and supplements included herewith, is complete, true and accurate; and that the Applicant will comply with the undertakings contained in this Connecticut Supplement.
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Signature of Executive Officer or individual of similar rank

Print Name of Signatory: _____

Title: _____

Subscribed and sworn to before me
this day of 20 .

Notary Public/Commissioner of the Superior Court
My Commission Expires:

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Updated
5/2015