

Applicant Name: _____
Date: _____ Firm CRD No.: _____

12. Check types of business engaged in (or to be engaged in, if not yet active) by *applicant*. Do not check any category that accounts for (or is expected to account for) less than 1% of annual revenue from the securities or investment advisory business.

- A. Exchange member engaged in exchange commission business other than floor activities EMC
- B. Exchange member engaged in floor activities EMF
- C. Broker or dealer making inter-dealer markets in corporate securities over-the-counter IDM
- D. Broker or dealer retailing corporate equity securities over-the-counter BDR
- E. Broker or dealer selling corporate debt securities BDD
- F. Underwriter or selling group participant (corporate securities other than mutual funds) USG
- G. Mutual fund underwriter or sponsor MFU
- H. Mutual fund retailer MFR
- I. 1. U.S. government securities dealer GSD
- 2. U.S. government securities broker GSB
- J. Municipal securities dealer MSD
- K. Municipal securities broker MSB
- L. Broker or dealer selling variable life insurance or annuities VLA
- M. Solicitor of time deposits in a financial institution SSL
- N. Real estate syndicator RES
- O. Broker or dealer selling oil and gas interests OGI
- P. Put and call broker or dealer or option writer PCB
- Q. Broker or dealer selling securities of only one issuer or associate issuers (other than mutual funds) BIA
- R. Broker or dealer selling securities of non-profit organizations (e.g., churches, hospitals) NPB
- S. Investment advisory services IAD
- T. 1. Broker or dealer selling tax shelters or limited partnerships in primary distributions TAP
- 2. Broker or dealer selling tax shelters or limited partnerships in the secondary market TAS
- U. Non-exchange member arranging for transactions in listed securities by exchange member NEX
- V. Trading securities for own account TRA
- W. Private placements of securities PLA
- X. Broker or dealer selling interests in mortgages or other receivables MRI
- Y. Broker or dealer involved in a networking, kiosk or similar arrangement with a:
 - 1. bank, savings bank or association, or credit union BNA
 - 2. insurance company or agency INA
- Z. Other (*give details on Schedule D, Page 1, Section II*) OTH

- 13. A. Does *applicant* effect transactions in commodity futures, commodities or commodity options as a broker for others or as a dealer for its own account? YES NO
- B. Does *applicant* engage in any other non-securities business? YES NO
If "yes," describe each other business briefly on Schedule D, Page 1, Section II.