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MEMORANDUM

TO: Hawaii Broker-Dealer Applicants

FROM: Theresa Kong Kee, Acting Securities Compliance Supervisor
Business Registration Division

RE: Hawaii Broker-Dealer Registration

In order to register a broker-dealer in Hawaii, we shall require the completion of the following:

1. **FILING FEE** – The filing fee is two hundred dollars (\$200.00) and must be paid through FINRA's CRD.
3. **FINANCIAL STATEMENTS** – The applicant must submit the most recent audited fiscal year end financial statement **and** a current, verified month end statement dated within thirty (30) days of the filing date. The month end financial statement shall be verified and signed by an officer and notarized. The Verification form is available online.
2. **AFFIDAVIT OF NO SALES** – The applicant must submit a completed Broker-Dealer Questionnaire and Affidavit: Prior Sales form which is available online.

All broker-dealer applicants shall complete the preceding broker-dealer registration materials. All forms shall be completely and correctly executed. Failure to complete any of the preceding shall result in the delay of the broker-dealer's registration in the State. Applicants will be notified in writing of any deficiencies in their applications or any requests for additional information. When an application is approved the CRD status will be updated.

All required forms are available online at investing.hawaii.gov under the Broker-Dealers tab and completed forms shall be uploaded to the [Securities Online Portal](#). If you have any questions concerning the preceding information, contact our office at (808) 586-2722 or email sc@dcca.hawaii.gov.