

FLORIDA OFFICE of FINANCIAL REGULATION



Home About OFR Apply for a License Verify a License File a Complaint News Research Resources

Home [Division of Securities](#) [Investment Advisers State Registered Associated Person](#)



Registration Requirements

Maintaining or Renewing Registration

Forms

Statutes and Rules

State Registered Advisers: Associated Person

Associated person of an investment adviser means any person who for compensation refers, solicits, offers, or negotiates for the purchase or sale of investment advisory services.

Registration Requirements

A person whose activities fall within this definition is required to register with the Office of Financial Regulation (OFR) as an associated person of a state registered adviser pursuant to Sections 517.12(1) or 517.12(4), Florida Statutes (F.S.).

The state registered adviser with which the associated person seeks registration must be lawfully registered with the OFR.

Note: Registration as an associated person of a state registered adviser does not constitute registration as an associated person of a dealer, or vice-versa. The two associated person registrations are separate and distinct.

The Florida Division of Securities participates in the Central Registration Depository (CRD) system for registration of associated persons for state registered advisers.

All state registered advisers requesting associated person registration shall file the Form U-4, Uniform Application for Securities Industry Registration or Transfer, documents and fees prescribed in Section 517.12(10), F.S., and Rule 69W-600.002, F.A.C., through the CRD.

State registered advisers not dually registered as a FINRA member broker dealer are required to submit fingerprint results for associated person applicants to the OFR. Click [here](#) for additional information.

CRD Access

To obtain more information about how to make associated person filings through the CRD system, contact FINRA at (301) 950-6500 or visit their website <http://www.finra.org/Industry/Compliance/>.

Maintaining or Renewing Registration

Amendments to Form U-4

If the information contained on the Form U-4, Uniform Application for Securities Industry Registration or Transfer, becomes inaccurate for any reason, the state registered adviser shall file an amendment on the Form U-4 correcting the information within 30 days.

Amendment filings shall be made through the CRD system.

Termination of Associated Person Registration

State registered advisers shall file notices of termination for their associated persons on the Form U-5, Uniform Termination Notice for Securities Industry Registration.

Termination filings shall be made through the CRD system.

Renewal of Associated Person Registration

Renewal fees for associated persons of state registered advisers shall be submitted through the CRD system in accordance with FINRA guidelines. It is incumbent upon the registrant, not the OFR, to ensure that the renewal payment is submitted timely. The renewal fee is \$50 for each associated person.

Registrants should refer to Section 517.12(11), F.S. and Rule 69W-600.009, F.A.C., for additional guidance.

Registrations for associated persons of state registered advisers expire at the end of each calendar year and must be renewed timely for the registrant to remain registered to conduct business in, to or from Florida.

Forms

[Form U-4, Uniform Application for Securities Industry Registration or Transfer -- Form U-4 Instructions](#)

[Form U-5, Uniform Termination Notice for Securities Industry Registration -- Form U-5 Instructions](#)

Statutes and Rules

Applicants for registration as associated persons of a state registered adviser are subject to the requirements found in [Chapter 517](#), F.S., the Florida Securities and Investor Protection Act, and the administrative rules, Sections [69W-100 through 69W-1000](#), F.A.C.

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