

SECURITIES SALES ACTIVITY STATEMENT

TO: FINRA
District No.

FROM: (NAME OF APPLICANT)

DATE: (DATE)

SUBJECT: NO SECURITIES SALES ACTIVITIES

This statement will confirm that (NAME OF APPLICANT) has not previously engaged in any securities sales activities and is not currently engaged in any securities sales activities. Furthermore, (FIRM NAME) will refrain from engaging in any securities sales activities until it has received approval from FINRA.

(DATE) (SIGNATURE OF FIRM'S EXECUTIVE REPRESENTATIVE)

Date

(PRINTED NAME OF EXECUTIVE REPRESENTATIVE)

Executive Representative
(NAME OF APPLICANT)