



## New Mexico Regulation and Licensing Department

### SECURITIES DIVISION

Toney Anaya Building ▪ 2550 Cerrillos Road ▪ P.O. Box 25101 ▪ Santa Fe, New Mexico 87505  
(505) 476-4580 ▪ Fax (505) 476-7704 ▪ Toll free in NM (800) 704-5533

[www.rld.state.nm.us/securities-division](http://www.rld.state.nm.us/securities-division)

Susana Martinez  
GOVERNOR

Robert "Mike" Unthank  
SUPERINTENDENT

David Jablonski  
DEPUTY  
SUPERINTENDENT

Claudia Armijo  
DEPUTY  
GENERAL COUNSEL

Alexis Lotero  
DIRECTOR DESIGNEE

## **BROKER-DEALER REGISTRATION PACKET**

### **REQUIREMENTS AND FEES:**

- 1) Applicants shall at all times have at least one designated principal at the main office. **Please provide the name and CRD number for the individual who will serve as the designated principal for New Mexico with your application. This individual must be registered in the state.**
- 2) Filing Fees (submitted through FINRA):
  - a. \$300 for broker-dealer firm registration
  - b. \$ 50 for each broker-dealer agent registration

**NOTE:** The designated principal is considered an agent for fee purposes.

- 3) Financial statements, including net capital computation, dated no more than ninety (90) days prior to filing date. The filing date is the date the firm applies for registration via the Web CRD system.

**NOTE: After registration approval, you are not required to send annual audited financial statements.**

- 4) An Affidavit of No Sales certifying the applicant has not transacted securities business in New Mexico during the time the firm was not licensed in the state. **CLEARING BROKERS WILL BE CONTACTED TO VERIFY THE ACCURACY OF THE AFFIDAVIT OF NO SALES.**
- 5) Name, address and contact person for the firm's clearing broker.
- 6) Form U-2 Uniform Consent To Service Of Process.
- 7) A list of all branch offices in New Mexico with the name and qualifications of the resident manager. If there are none, please address in cover letter.
- 8) Please include an email address to be used by the Division for notifications of regulatory information and/or updates.

**Any application for registration which is not completed or withdrawn within six months from the date it is initially received may be deemed materially incomplete, and the Director may issue an order denying the registration.**

Alcohol and Gaming Division  
(505) 476-4875

Boards and Commissions Division  
(505) 476-4600

Construction Industries Division  
(505) 476-4700

Financial Institutions Division  
(505) 476-4885

Manufactured Housing Division  
(505) 476-4770

Securities Division  
(505) 476-4580

Administrative Services Division  
(505) 476-4800

**EXAMINATION REQUIREMENTS:**

Each broker-dealer representative and designated principal must have successfully passed, within the last two (2) years, the USASLE Series 63 examination or Series 66, and a securities examination for representatives (Series 6, Series 7, etc.).

The designated principal must also have passed a securities examination for principals (Series 24, Series 26, etc.).

If examinations were not passed within two (2) years prior to application, applicants must have been licensed as broker-dealers or broker-dealer representatives within the last two (2) years under the laws of another state requiring such examinations.

**SEND FORMS TO:**

New Mexico Securities Division  
Richard Dominguez, Compliance Officer  
Broker Dealer Section  
PO Box 25101  
Santa Fe, New Mexico 87504  
email: [Richard.Dominguez@state.nm.us](mailto:Richard.Dominguez@state.nm.us)

**ANNUAL REQUIREMENTS:**

Renewal: Due Date: December 31st of each year and submitted through CRD  
Fee: Same as initial fees (as stated #2 above)

(Revised December 2015)