APPLICATION FOR REGISTRATION OF SECURITIES BY ANNOUNCEMENT - SECONDARY

SECURITIES DEPARTMENT

SFN 54147 (10-2013)

Securities Department
600 E Boulevard Ave - Dept 414
Bismarck, ND 58505
(701) 328-2910
www.nd.gov/securities

Under Section 10-04-07.1 of the Securities Act of 1951 as amended.

Dealer Applicant			
Address	City	State	ZIP Code
Name of Issuer of Securities Being Registered			
Principal Office Address	City	State	ZIP Code
Title of Securities Being Registered	Current Market	Bid	Ask

Last Twelve Month High	Last Twelve Month High Bid	Last Twelve Month High Ask	Last Twelve Month Low	Last Twelve Month Low Bid	Last Twelve Month Low Ask

Earnings History per share for 5 years (except for newer companies)

1	2	3	4	5	Average for Period

Subject securities have been outstanding and in the hands of the public for not less than one year.

☐ Yes ☐ No

Include a financial statement or Offering Circular containing a financial statement not more than 12 months old. If not available, indicate date when ready.

Subject Securities Previously Registered		Date of Latest Registration
☐ In North Dakota	☐ With Securities & Exchange Commission	

If the securities being registered are life insurance company stocks qualifying under the second paragraph of Section 10-04-07.1 of the North Dakota Securities Act of 1951, as amended, please supply information as stated in Subsection 1 of Section 10-04-07.1.

Securities entitled to registration by announcement may be registered only by a dealer registered with the Securities Department.

The filling fee is twenty-five dollars ($25.00).

The undersigned under oath says that he/she has executed the foregoing application for and on behalf of the applicant named above; that he/she is _____ of such applicant and is fully authorized to execute and file such application; that he/she has read such application and knows the contents; and that to the best of his/her knowledge and belief the statement made in such application and the exhibits enclosed are true.

Corporate Seal

By

Registered Dealer	Date
Printed Name of Signatory	
Signature and Official Capacity of Person Filing for Registered Dealer	