



STATE OF CALIFORNIA – DEPARTMENT OF BUSINESS OVERSIGHT  
**APPLICATION BY NOTIFICATION FOR BROKER DEALER CERTIFICATE**  
DBO-260.211.1 (Rev. 11-13)



- b. A completed Form BD (Uniform Application for Broker-Dealer Registration, 17 C.F.R. § 249.501) and the schedules thereto.

NOTE: Social Security Numbers: In accordance with Section 7 of the Privacy Act of 1974 (PL. 93-579), the following information is provided in connection with the disclosure of social security account numbers in Form BD (Uniform Application for Broker-Dealer Registration, 17 C.F.R. § 249.501) and the Schedules thereto.

Disclosure of a social security account number shall be considered a voluntary disclosure, except as provided below. A social security account number or federal taxpayer identification number under Business and Professions Code Section 494.5, is solicited pursuant to one or more of the following authorities:

- Section 25211, Corporations Code.
- Section 260.211, Title 10, California Code of Regulations.
- Section 17520, Family Code.
- Section 494.5, Business and Professions Code.

Uses to be made of social security account numbers and federal taxpayer identification numbers, solicited by Form BD and the Schedules thereto are:

- A. For all persons disclosing social security account numbers, the number may be used, in addition to other information provided, to conduct a background investigation of the individual by the Department of Justice's Identification and Information Branch or by other federal, state or local law enforcement agencies. The social security number may also be used to respond to requests for this information made by child support agencies.

Under Business and Professions Code Section 494.5, the social security number or federal taxpayer identification number is used to match the information to the names on the lists of tax delinquencies provided by the State Board of Equalization and the Franchise Tax Board.

- B. The completed form, except any disclosed social security account numbers and federal taxpayer identification numbers, shall become a public record and available to members of the public pursuant to the provisions of the Public Records Act (Government Code Sections 6250, et seq.).

The State Board of Equalization and the Franchise Tax Board are authorized to share taxpayer information with the Department of Business Oversight, and in the event the state tax obligation is not paid by a certificate holder after a certificate is issued, the Department of Business Oversight may be required to suspend the certificate (Business and Professions Code Sections 31 and 494.5).

7. Applicant's Minimum Net Capital Requirement: \$ \_\_\_\_\_

8. Applicant's Fiscal Year Ends: \_\_\_/\_\_\_ (Month/Day)

9. Execution:

\_\_\_\_\_  
By \_\_\_\_\_

\_\_\_\_\_  
(Title)