NEBRASKA
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DEPARTMENT OF BANKING AND FINANCE

Jim Pillen, Governor

IMPORTANT RENEWAL NOTICE

TO: Compliance/Registration Department for Non-FINRA Firms
FROM: Nebraska Department of Banking and Finance, Bureau ofSecurities
RE: 2027 Renewal of Broker-Dealer Registrations
DATE: October 30, 2026

The following Renewal Checklist and Supplemental Information is required be filed with the Nebraska Department of Banking and Finance, Bureau of Securities ("Department"), by **December 18, 2026**, to renew the firm's Nebraska broker-dealer registration. Failure to fully comply with renewal requirements may result in termination of the firm's registration in Nebraska.

2027 Renewals

Fee payments may now be made by ACH transmission. Please arrange for payment through your financial institution utilizing the attached ACH Payment Information Form. Upon completion, please return the ACH Payment Information Form along with the required supplements through the Sharefile link emailed to the firm contact provided to the Department. If you did not receive an email with the ShareFile link, please contact the Department at DOB.SecuritiesBureau@Nebraska.gov.

2027 NEBRASKA BROKER-DEALER RENEWAL CHECKLIST: Carefully complete the enclosed 2027 Nebraska Broker-Dealer Renewal Checklist ("Checklist"). The Department will use information set forth thereon to process the firm's registration renewal.

FORM BD: Please review the firm's Form BD for updates and/or amendments. If applicable, return the amended Form BD with your renewal submission. An initial Form BD can be found at: https://www.sec.gov/about/forms/formbd.pdf.

DESIGNATED COMPLIANCE PRINCIPAL: Nebraska requires one designated compliance principal for the firm. Please include on the Checklist the name of the designated compliance principal listed on Form BD, Schedule A, who has passed the Series 24 and either the Series 63 or Series 66 examinations.

AGENTS: Any amendments to Form U-4, for each officer, director, partner, sole proprietor, agent, or other individual who will be authorized to conduct securities activities in Nebraska are to be filed. For any individual who will be initially registering in Nebraska, include a complete Form U-4 and documentary evidence the individual has met the Department's examination requirements.

Form U-4 can be found at: https://www.finra.org/sites/default/files/form-u4.pdf.

Department of Banking and Finance
1526 K Street - Suite 300, PO Box 95006
Lincoln, Nebraska 68509 USA

ndbf.nebraska.gov

An Equal Opportunity Employer

Kelly Lammers, Director
Main 402-471-2171 **Fax** 402-471-3062

ANNUAL AUDITED FINANCIAL STATEMENT: The audited financial statement is required to be filed with the Department within 90 days of the firm's fiscal year end date. Indicate on the Checklist how this filing will be accomplished. If a broker-dealer has a net capital less than $25,000.00, the firm is required to have a surety bond in the amount of $25,000.00 and a copy of the bond is to be submitted to renew the broker-dealer registration.

CERTIFIED FINANCIAL STATEMENT: If the Annual Audited Financial Statement is dated prior to September 30, 2026, or will not be available prior to the renewal deadline, a financial statement prepared as of September 30, 2026, or later, and certified by an officer, director or general partner of the firm attesting that the financial statement is true and accurate, must be submitted.

FEES: Nebraska renewal fees are $250 for a broker-dealer and $40 per agent unless exempt. Please combine the firm and agent renewal fees into one check or ACH payment. If paying by corporate check, please make your check payable to the Nebraska Department of Banking and Finance and remit accordingly.

WITHDRAWALS: If you do not wish to renew your registration in Nebraska, file Forms BDW and U-5 directly with the Department. The forms are located at: https://www.sec.gov/pdf/formbdw.pdf.

Any questions you have should be directed to Securities Bureau staff at 402-471-2171 or email DOB.SecuritiesBureau@Nebraska.gov.

Regards,

Rodney R. Griess
Registration and
Compliance Manager

2027 Nebraska Non-FINRA Broker-Dealer Renewal Checklist

Broker-Dealer: _____

Name of contact person for renewal: _____

Firm contact, if different from above: _____

Telephone: _____ FAX: _____

E-Mail: _____

FORM BD: (Check one) ☐ AMENDED FORM BD ENCLOSED ☐ NO AMENDMENTS

DESIGNATED COMPLIANCE PRINCIPAL (If this is a new individual, submit a Form U-4 & proof of exams)
If this is the same individual, has the Form U-4 been amended since last submission?
☐ Yes ☐ No. If yes, a current Form U-4 is required to be filed.

_____
Name of Designated Principal

AGENTS TO BE RENEWED FOR 2027 (NOT LISTED ON SCHEDULE A): Renewal fees required.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____

If there are additional individuals, list them in your cover letter and provide the following for new 2027 agents: A complete and current Form U-4, proof of exams and a $40.00 fee for each unless exempt.

CERTIFIED FINANCIAL STATEMENT: *This is required only if the Audited Financial Statement is dated prior to September 30,2026, or will not be available prior to the renewal deadline.* The financial statement is to be certified under the penalty of perjury by an officer, director or general partner of the firm.

Check one of the following: ☐ **ENCLOSED** ☐ **NOT APPLICABLE**

ANNUAL AUDITED FINANCIAL STATEMENT

Annual Audited Financial Statement must be filed with the Department no later than 90 days after the firm's fiscal year end. The firm's fiscal year end is_____.

Check one of the following:

☐ 2026 Annual Audited Financial Statement has already been filed with the Department.

☐ 2026 Annual Audited Financial Statement is enclosed herewith.

☐ 2026 Annual Audited Financial Statement will be filed with the Department upon completion.

If the firm's net capital is less than $25,000, a surety bond is required and a photocopy is to be submitted with these renewal documents.

On behalf of the above-named broker-dealer, I represent that I have authority to execute this document. **I understand that failure to fully comply with all renewal requirements may result in termination of broker-dealer registration.**

_____ _____

Signature Date

_____

Printed Name & Title