

MEMO

Attention: Compliance Department

RE: 403 Verification Notice

Dear Firm Contact:

The attached roster contains a listing of current individuals registered in Nebraska and is considered due upon receipt.

As you are aware, the Nebraska Department of Banking and Finance (“Department”) is required to verify the immigration status of individuals deemed to be receiving a public benefit in the form of a professional license pursuant to Neb. Rev. Stat. §§ 4-108 through 4-114 (Reissue 2012, Cum. Supp. 2016), through the Systematic Alien Verification for Entitlements Program (“SAVE”) developed by the Office of Homeland Security. Until each individual’s verification of eligibility is made, the completed roster attestation is presumed to be proof of lawful presence by the Department.

Please review and indicate the status of each individual listed on the roster. Sign and date the roster and return it to the Department at (dob.403@nebraska.gov) along with all supplemental documentation (listed below) required for individuals identified as qualified legal aliens. Please insure the firm CRD # is in the subject line of your return email. Failure to return the roster attestation in a timely manner will result in the administrative termination of the individuals listed.

In order to proceed with the verification process, it is necessary for your firm on behalf of each individual identified as a qualified legal alien, to remit to the Department, a completed Individual Attestation Form found on our website: (<https://ndbf.nebraska.gov/sites/ndbf.nebraska.gov/files/doc/industries/securities-citizenship-form09.pdf>), and a legible copy (front and back) of one of the following 14 applicable forms of documentation. To avoid delays in processing, please insure all documents remitted to the Department are current and unexpired:

Location: Commerce Court • Suite 400 • 1230 ‘O’ Street • Lincoln, Nebraska • 68508-1402
Mailing Address: P.O. Box 95006 • Lincoln, Nebraska • 68509-5006

1. I-327 (Reentry Permit)
2. I-551 (Permanent Resident Card)
3. I-571 (Refugee Travel Document)
4. I-766 (Employment Authorization Card)
5. Certificate of Citizenship
6. Naturalization Certificate
7. Machine Readable Immigrant Visa (with Temporary I-551 Language)
8. Temporary I-551 Stamp (on passport or I-94)
9. I-94 (Arrival/Departure Record)
10. I-94 (Arrival/Departure Record) in Unexpired Foreign Passport
11. Unexpired Foreign Passport (must include an I-94)
12. I-20 (Certificate of Eligibility for Nonimmigrant (F-1) Student Status
13. DS2019 (Certificate of Eligibility for Exchange Visitor (J-1) Status
14. I-797A (Notice of Action) with Alien Number or I-94 (Arrival/ Departure Record)

Your signature on the Roster indicates that you have verified the immigration status of all individuals listed. By law, each individual, regardless of status, is required to complete an Individual Attestation Form. However, only return forms and documentation on individuals identified as qualified legal aliens. Please retain copies of any documentation for your records.

Should you have any questions, please feel free to contact me at (dob.403@nebraska.gov) or call (402) 471-3263.

Sincerely,

A handwritten signature in blue ink, appearing to read "Rodney R. Griess", is enclosed in a thin black rectangular border.

Rodney R. Griess
Securities Investigation and
Compliance Unit
Supervisor

Roster Attached