Securities and Exchange Commission

§ 249.509 Form BDW, for notice registration as a broker-dealer.

This form shall be used for notice of registration as a broker-dealer pursuant to Section 15(b)(11)(A) of the Act (15 U.S.C. 78o(b)(11)(A)) for the limited purpose of trading security futures products, or to amend such notice.

[66 FR 45147, Aug. 27, 2001]

EDITORIAL NOTE: For Federal Register citations affecting Form BDW, see the List of CFR SectionsAffected, which appears in the Finding Aids section of the printed volume and on GPO Access.

§ 249.507 Form 7–M, consent to service of process by an individual nonresident broker-dealer.

This form shall be filed pursuant to Rule 15b1–5 (§240.15b1–5 of this chapter) by each individual nonresident broker-dealer registered or applying for registration pursuant to section 15 of the Act.

[33 FR 18995, Dec. 20, 1968]

EDITORIAL NOTE: For Federal Register citations affecting Form 7–M, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

§ 249.508 Form 8–M, consent to service of process by a corporation which is a nonresident broker-dealer.

This form shall be filed pursuant to Rule 15b1–5 (§240.15b1–5 of this chapter) by each corporate nonresident broker-dealer registered or applying for registration pursuant to section 15 of the Act.

[33 FR 18995, Dec. 20, 1968]

EDITORIAL NOTE: For Federal Register citations affecting Form 8–M, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

§ 249.509 Form 9–M, consent to service of process by a partnership nonresident broker-dealer.

This form shall be filed pursuant to Rule 15b1–5 (§240.15b1–5 of this chapter) by each partnership nonresident broker-dealer registered or applying for registration pursuant to section 15 of the Act.

[33 FR 18995, Dec. 20, 1968]

EDITORIAL NOTE: For Federal Register citations affecting Form 9–M, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

§ 249.501b Form BD-N for notice registration as a broker-dealer.

This form shall be used for notice of registration as a broker-dealer pursuant to Section 15(b)(11)(A) of the Act (15 U.S.C. 78o(b)(11)(A)) for the limited purpose of trading security futures products, or to amend such notice.

[66 FR 45147, Aug. 27, 2001]

EDITORIAL NOTE: For Federal Register citations affecting Form BD-N, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.