

Division of Securities

Securities Firm, Branch and Agent Lists Fields and Descriptions

FILE #: File # assigned for the entity by the Division of Securities

TYPE: Registration type for the given entity

BD BROKER DEALER

BDA BROKER DEALER AGENT

BDB BROKER DEALER BRANCH

IA INVESTMENT ADVISER

IAB INVESTMENT ADVISER BRANCH

ID ISSUER DEALER

IDA ISSUER DEALER AGENT

IDB ISSUER DEALER BRANCH

FIRM NAME: Name of the registered entity

LAST/FIRST NAME: Legal name of registered individual (For agents)

PRIMARY ADDRESS: Address where entity is physically located

MAILING ADDRESS: Mailing address for entity

PHONE NUMBER: Phone number for entity

COUNTY: County code for the entity's home office

DATE APPROVED: Date the entity was approved to do business in this state

AFFILIATION: Entity's primary regulatory authority. Affiliation codes are:

FNRA: Financial Industry Regulatory Authority - member firm

SEC: Securities and Exchange Commission – federal covered investment adviser or non-FINRA member dealer

FLA: Florida – investment adviser (state covered) or issuer dealer