

APPENDIX B

CR -- SCOR -- MID-ATLANTIC REGION REVIEW Small Company Offering Registration Agent Licensing By Jurisdiction

Jurisdiction	Agent Registration Required	Exemption from Agent registration	Registration Form	Test(s)	Waiver of tests	Fee and Other Requirements
Delaware	Yes		U-4	Series 63 or Series 66	Commissioner may waive for good cause shown.	Fee: \$50
District of Columbia	Yes	Must be a broker or issuer agent	U-4	Series 6 Series 7 Series 63	Commissioner in his discretion may waive exam requirement.	\$45 Surety bond (See Rule 1880). fingerprint card Issuer's latest annual report "Clean Hands" form.
Maryland	Yes	No	U-4	Series 63 or Series 66	May be requested in writing. May be granted on basis of education, experience or duties.	Fee: \$35

Jurisdiction	Agent Registration Required	Exemption from Agent registration	Registration Form	Test(s)	Waiver of tests	Fee and Other Requirements
New Jersey	Yes		U-4	Yes	May be granted based on knowledge, training and experience in securities field. Agent must have been continuously active in securities business for at least 2 years prior to filing of application.	Fee: \$30
Pennsylvania	Yes	Any bona fide officer, director, partner or employee of the issuer who does not receive any compensation, directly or indirectly, for effecting transactions.	U-4	Series 24 or Series 7 and Series 63 or Series 66	May be requested. Guidelines for waiver set forth in Regulation §604.016	Fee: \$82
Virginia	Yes	No	U-4	Score 70% on Series 63, Series 66 or similar exam.	Guidelines for waiver set forth in Regulation 21-VAC 5-20-220 B	Fee: \$30 payable to Treasurer of VA; Agreement for Inspection of Records Form
West Virginia	Yes	No	U-4	Series 63 and one other exam or Series 66	May be requested in writing. May be granted on basis of education, experience or duties.	Fee: \$250