

Division of Securities

Securities Firm, Branch and Agent Lists
Fields and Descriptions

LICENSE #: License number assigned for the entity by the Division of Securities

TYPE: Registration type for the given entity

BD	BROKER DEALER
BDA	BROKER DEALER AGENT
IA	INVESTMENT ADVISER
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