State of Washington Dept. of Financial Institutions Securities Division P.O. Box 9033 Olympia, WA 98507-9033 (360) 902-8760 http://dfi.wa.gov/sd

## APPLICATION FOR FRANCHISE BROKER REGISTRATION

Pursuant to RCW 19.100.140 and WAC 460-82



## Item 1. Type of Application

Initial Application (\$50) Amendment (No Fee)
Renewal Application (\$25) Re-Application (\$50)

Note: A re-application is necessary when an applicant previously received a franchise broker license, but the license is expired at the time a new application is submitted.

## Item 2. Identity of Applicant

Directions: Please provide the following information regarding the applicant. If the applicant is an individual, operating as a franchise broker under the individual's own name or under a DBA name, the name of the applicant is the individual's name. If instead the applicant is a corporation or other legally formed entity, the applicant name is the name of the corporation or other legal entity.

		d entity, the applicant name is the		
Name of Applicant		DBAs (if applicable)	None	Entity Type (Select one)
				Corporation
Franchise Broker No. (if ki	nown):			Limited Partnership
				Limited Liability Company
				General Partnership
Year of Incorporation/Orga	anization:			Sole Proprietorship
Jurisdiction of Incorporation	on/Organization:			Other (Specify)
Item 3. Principal Plac	ce of Business		_	
Street Address Line 1		Street Address Line 2		
City		State/Province/Country	ZIP/Postal Code	Phone No.
Item 4. Contact Perso	on			
Directions: Provide the nar	me and contact inform	ation for the person to contact wit	th questions about the	e filing of this notice.
Last Name		First Name	Firm	Name
Street Address Line 1	Street Addre		ss Line 2	
City		State/Province/Country		ZIP/Postal Code
Phone	Fax	E-mail		
Item 5. Payment Met	hod			
Indicate the payment method for this filing:		Check	Money Order	Online

YES NO

Has the broker or any of the broker's principals, officers, or directors ever been convicted or pled guilty or nolo contendere ("no contest") to a *misdemeanor* involving a franchise?

Has the broker or any of the broker's principals, officers, or directors ever been convicted or pled guilty or nolo contendere ("no contest") to *any* felony?

Has the broker or any of the broker's principals, officers, or directors ever been permanently or temporarily enjoined from engaging in or continuing any aspect of the franchise industry?

Has the broker or any of the broker's principals, officers, or directors ever been subject of an order or the director denying, suspending, or revoking registration as a franchise broker or as a franchisor?

Has the broker or any of the broker's principals, officers, or directors ever been found by any court, administrative body, or arbitrator/arbitration panel to have engaged in dishonest or unethical practices in the franchise industry?

Has the broker or any of the broker's principals, officers, or directors ever been found by any court, administrative body, or arbitrator/arbitration panel to have engaged in dishonest or unethical practices in connection with a license agreement, distributorship, or business opportunity?

Within the last 10 years has the broker or any of the broker's principals, officers, or directors made a compromise with creditors, filed a bankruptcy petition, or been the subject of an involuntary bankruptcy petition?

Does the broker or any of the broker's principals, officers, or directors have any unsatisfied judgments or liens?

If the answer to any of the above questions is "Yes," provide all pertinent details, including names, dates, case numbers, and a summary of the allegations and findings below (if more space is required, please attach a separate sheet to the application).

## Item 7. Signature and Submission

By filing this application, the applicant hereby represents that:

- The applicant has included the filing fee specified in RCW 19.100.240 with the submission of this application. The initial application fee is \$50. Renewal filings shall be accompanied by a fee of \$25 and should be submitted approximately twenty-one (21) calendar days prior to December 31<sup>st</sup> in order to avoid a lapse in registration. Re-applications shall be accompanied by the initial application fee of \$50. Checks should be made payable to the "Washington State Treasurer."
- If there are any material changes to the information contained in this application, the applicant will promptly submit an amendment.
- The applicant understands that all information submitted to the Department of Financial Institutions becomes a public record and is subject to inspection and copying by the public.
- The applicant hereby irrevocably appoints the Securities Administrator as its agent for service of process upon whom may be served any notice, process or pleading in any action or proceeding against it arising out of, or in connection with, the sale of franchises and the undersigned does hereby consent that any such action or proceeding against it may be commenced in any court of competent jurisdiction and proper venue within the State of Washington by service of process upon the Securities Administrator with the same effect as if the undersigned was organized or created under the laws of the State of Washington and have been served lawfully with process in this state. It is requested that a copy of any notice, process, or pleading served hereunder be mailed to:

nereunder de maned to.	
	Name
	Address
The applicant has read this application, knows the contents to by the undersigned duly authorized person.	be true, and has duly caused this application to be signed on its behalf
Signature	Name of Signer (Print)
Title	Date

Form Rev. November 19, 2018