



**The Commonwealth of Massachusetts**  
William Francis Galvin, Secretary of the Commonwealth  
Securities Division

**BROKER-DEALER DEFERRAL REQUEST FORM**

\_\_\_\_\_ (CRD No. \_\_\_\_\_) (the "Applicant") hereby amends  
Name of Firm  
the application for registration as a broker-dealer in Massachusetts and requests a deferral of the  
thirty-day time period set forth in Mass. Gen. Laws c. 110A § 202(a) for action by the  
Massachusetts Securities Division with respect to the application.

The undersigned hereby certifies that he/she has the authority to amend the application and  
make this request on behalf of the Applicant and does so pursuant to that authority.

Signature

Printed Name and Title

Date