

660:11-5-13. Agent transfer [AMENDED]

\_\_\_An agent who wishes to terminate his employment with one registered broker-dealer and thereafter commence employment with another broker-dealer may do so without causing a suspension in the agent's registration if all of the following conditions are met:

(1) Both the terminating and employing broker-dealers are members of the ~~National Association of Securities Dealers, Inc.~~ Financial Industry Regulatory Authority, Inc.

(2) The transfer is effected in accordance with the terms and conditions of the NASAA/NASDFINRA Central Registration Depository Temporary Agent Transfer Program.

(3) The employing broker-dealer has executed and filed an "Undertaking for Participation in the NASAA/NASDFINRA Central Registration Depository TAT Program."

(4) The employing broker-dealer currently is not subject to an order of the Administrator which would otherwise make this section unavailable.