



PRIVATE CLIENT SERVICES™

MEMBER FINRA, SIPC
A Registered Investment Advisor
2225 Lexington Road
Louisville, KY 40206
(502) 451-0600

Private Client Services, LLC branch registration form

The uniform definition of a branch office is any location where one or more associated persons of a FINRA member firm regularly conducts the business of handling any transactions in, or soliciting or attempting to solicit the purchase or sale of, any security, or any location that is held out as such. In order to comply with this definition, Private Client Services, LLC is required to file all representatives' locations with FINRA and applicable state authorities. A branch registration form must be completed for each location where you conduct business.

Name – Please print clearly

Rep number

Business address – no P.O. Box

City

State

Zip

Telephone number

Fax Number

1. Are you doing Investment Advisory Services?
No
Yes

2. Does any associated person conduct, at this branch, investment-related* activities in addition to the activities indicated above in question number 1?
No
Yes... if yes, proved description: _____

3. Will any associated person of this branch office conduct any investment-related activities at this branch office under any name other than those names disclosed on the applicant's Form BD or Form ADV? In other words, are you using a DBA for investment-related activities?
No
Yes ... if yes, provide all other business names for this location:

Business Name

Business Name

Business Name

4. Does this branch office have a website address other than the primary website address by Private Client Services, LLC at Privateclientservicesllc.com?

No

Yes ... If yes, provide the website address (es):

_____ Website Address

_____ Website Address

_____ Website Address

5. Does the branch office occupy or share space with or jointly market with a bank, savings bank, savings association, credit union, or other federally insured depository institution?

No

Yes... if yes, enter the name of the institution(s):

_____ Institution Name

_____ Institution Name

_____ Institution Name

6. Does any person other than the applicant have responsibility, directly or indirectly, for paying the expenses of this branch office or otherwise have a financial interest in this branch office or its activities (financial interest: do you split commissions this office and /or share office space and/or share in the expenses (fees) of the office):

No

Yes

If yes, provide the following information for each entity or person responsible for expenses or with a financial interest:

_____ Name	Firm Individual	Registered:	Yes No
_____ Name	Firm Individual	Registered:	Yes No
_____ Name	Firm Individual	Registered:	Yes No

Provide an explanation of the expense payment/financial interest arrangement: _____

_____ Name (Print)

_____ Signature