Rule 1017(a)(7) Flowchart:

Does the individual have disciplinary history?

No → No materiality consultation required under Rule 1017(a)(7).

Yes ↓

Is the disciplinary history either a final criminal matter or two specified risk events?

No → No materiality consultation required under Rule 1017(a)(7).

Yes ↓

Is a Statutory Disqualification Application being filed for the individual?

Yes → No materiality consultation required under Rule 1017(a)(7) .

No ↓

Request materiality consultation with FINRA.

↓

After consultation, was the association deemed material or immaterial?

Material → CMA Required.

Immaterial → CMA not required.