

PRE-HIRE APPLICATION



IF YOU ARE A REGISTERED REPRESENTATIVE WITH A BROKER DEALER FIRM, COMPLETE THE FOLLOWING:

NAME _____ YOUR TITLE _____
 HOME ADDRESS _____ PHONE _____
 CITY, STATE , ZIP _____ DATE OF BIRTH _____
 SOCIAL SECURITY # _____

1. What were your Securities Commissions or Fees generated through your current broker/dealer for the past 12 months? \$ _____
2. Are you a Registered Investment Advisor? YES NO
 - a. Are you presently registered and wish to continue registration to engage in activities as an investment advisor rep with a Registered Investment Advisor firm other than BFCFS? YES NO
 - b. Do you presently have your own Registered Investment Advisor firm that is approved or pending with the U.S. Securities and Exchange Commission and/or state? YES NO
3. Which Professional Designations do you hold?
 CFP CLU CFA LLB (J.D.) CPA MBA PhD Other _____
4. Have you ever been involved in a customer complaint, arbitration proceeding or investment related civil proceeding? YES NO
5. Have you ever been the subject of an inquiry or under investigation by a regulatory agency such as FINRA, SEC, state securities or Insurance Department? YES NO
6. Have you ever been under heightened supervision? YES NO
7. Do you have a non-compete clause that will be or is in effect from your previous broker/dealer? If so, please provide us with a copy of the contract. YES NO
8. Do you currently have a website? If yes, please provide the address: _____ YES NO
9. Have you ever been charged and/or convicted for any felony or misdemeanor, except for minor traffic offenses? YES NO
10. Have you ever been discharged/terminated for cause from any employment or broker/dealer? YES NO
11. Have you ever become insolvent, filed, bankruptcy, failed in a business or compromised your debts with creditors? YES NO
12. Do you have any unsatisfied judgments or liens against you? YES NO
13. Have you ever been enjoined permanently or temporarily from selling or dealing in securities or from functioning as an investment adviser? YES NO

14. Have you ever been known personally by any other name, or have you ever conducted business or carried brokerage or bank accounts in any other name? YES NO
15. Have you ever been refused a securities license or an insurance license in any state? YES NO
16. Have you ever had any disputes with a previous employer? YES NO

IF THE ANSWER TO ANY OF QUESTIONS 4 – 16 IS “YES”, PLEASE ATTACH A WRITTEN EXPLANATION.

17. Are you an American citizen? YES NO

IRREVOCABLE AGREEMENT

I hereby authorize Berthel Fisher & Company Financial Services, Inc. (“BFCFS”) and its agents and/or any potential/supervisor to procure a credit report and an investigative consumer report on me, and to review my registration history through FINRA.

UNTIL I AM NOTIFIED BY BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC. that I am an approved registrant of BFCFS, I cannot perform any activities or functions requiring registration, including the offer or sale of any securities product. I cannot hold myself out to clients or others as a representative or associate of BFCFS, or use or distribute any BFCFS materials, including, but not limited to, business cards, letterhead, advertising or any form of client communication.

I understand that the BFCFS minimum production requirement is \$50,000 per year.

Applicant’s Signature: _____ **Date:** _____

REFERRED BY: _____ JDriscoll CMineart PRonhovde VCoates

Please return Pre-Hire Authorization via fax to: (319) 447-4250 Attn. Susan Marshall