



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? \$ _____
Please provide 1099's/commission statements for prior two years with this application.

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

IF THE ANSWER TO ANY OF QUESTIONS 4 – 15 IS “YES”, PLEASE ATTACH A WRITTEN EXPLANATION.

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 SIrish

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