

**PRE-HIRE APPLICATION**

NAME \_\_\_\_\_ YOUR TITLE \_\_\_\_\_  
 HOME ADDRESS \_\_\_\_\_ PHONE \_\_\_\_\_  
 CITY, STATE, ZIP \_\_\_\_\_ DATE OF BIRTH \_\_\_\_\_  
 SOCIAL SECURITY # \_\_\_\_\_ EMAIL ADDRESS: \_\_\_\_\_

1. What were your Securities Commissions or Fees generated through your current broker/dealer for the past 12 months? \$\_\_\_\_\_. *Please attach a copy of your most recent commission statement.*
  
2. Are you an Investment Advisor Representative? YES NO
  - a. Do you have your own RIA? YES NO
  - b. Do you intend to operate your advisory activities through an RIA other than SM&R? YES NO

If yes, explain: \_\_\_\_\_
  
3. Which Professional Designations do you hold?  
 CFP CLU CFA LLB (J.D.) CPA MBA PhD Other \_\_\_\_\_  
*If you hold any of the above designations, please provide a copy of all current certifications.*
  
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? If you have been charged with an OWI/DUI, please mark "yes" and include a brief explanation of the events. 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. Have you previously been registered with a Futures Commissions Merchant or an Introducing Broker (i.e. Series 3, 34, 30)? If yes, provide a copy of CFTC Form 8-T and any amendments. YES NO
18. Have you made any political contributions within the last 2 years? YES NO  
If yes, please provide the name of the person/entity that the contribution was made to, the dollar amount, and the date of the contribution(s): \_\_\_\_\_
19. Are you an American citizen? YES NO

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**IRREVOCABLE AGREEMENT**

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I authorize Berthel Fisher & Company and its affiliates Berthel Fisher & Company Financial Services, Inc., Securities Management & Research, Inc. and/or BFC Planning Inc. (collectively referred to as “Berthel”) to conduct an investigation, including but not limited to, the information contained in this application, obtain/review credit bureau reports, CRD records, IARD records, and any other databases/services that provide publicly available information. I further authorize the investigation of all information obtained pursuant to this authorization, including but not limited to, my previous employment and disciplinary history and hereby release Berthel from all liability for any damages that may result from obtaining or furnishing the same.

I understand the results of any background or credit check may be shared with individuals within Berthel including but not limited to home office employees or designated supervisors. The information being obtained will not be used in violation of any federal or state equal opportunity law or regulation.

I understand that I cannot perform any activities or functions on behalf of Berthel that requires registration, including the offer or sale of any securities products, distribution of business cards, letterhead, advertising, etc., until Berthel provides notice that my licenses are active with the firm.

I understand that there is an annual minimum production requirement.

My signature listed below gives Berthel the authorization to obtain and review this information and to contact me with any questions.

**I understand that there is an annual minimum production requirement.**

**Applicant’s Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**REFERRED BY:** \_\_\_\_\_

- Berthel Fisher & Company Financial Services, Inc.
- Securities Management & Research, Inc.
- BFC Planning, Inc.

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