

Registered Representative Pre-Hire Profile

How did you hear about J.W. Cole Financial? _____

When is your anticipated affiliation date? _____

What other Broker Dealers are you considering? _____

PERSONAL INFORMATION:

Full Legal Name:	SSN:	DOB:
Home Address:	Cell Phone:	Alt Phone:
City: State: Zip:	Spouse's Name:	
Personal email address:		

FIRM INFORMATION:

Current Broker Dealer:	Current Clearing Firm:
DBA:	Assistant's Name:
Office Address:	
City: State: Zip:	Name of other advisors in the group:
Office Phone:	

ASSETS/GDC:

Total Assets:	Trailing 12 fixed insurance commission:
Brokerage account assets:	Are you currently affiliated with an
Self-managed advisory accounts AUM:	Insurance Marketing Organization? Yes No
Third party money manager accounts AUM:	If yes, please specify:
Trailing 12 months securities GDC:	
Previous year securities GDC:	I have attached my commission statement Yes <input type="checkbox"/> No

INVESTMENT ADVISORY REGISTRATION:

Do you plan to affiliate with J.W. Cole's Registered Investment Advisor (RIA)?

Yes

No

Do you own/maintain your own RIA?

Yes

No

What type of business is conducted through your Independent RIA? _____

OUTSIDE BUSINESS ACTIVITY:

Do you have any Outside Business Activities?

Yes

No

If so, please list each OBA and include a brief description:

REQUIRED PRELIMINARY DISCLOSURES:

1. Are you currently or have you *ever* been subjected to heightened supervision from a B/D?

Yes No

If so, please explain:

2. Do you currently have any pending claims not yet filed on your U4 or U5?

Yes No

If so, please explain:

3. Have you *ever* been arrested?

Yes No

If so, please give detailed charge, date and explanation of events:

ACKNOWLEDGEMENT/AUTHORIZATION

Initials*

I certify that the information contained herein is true and complete to the best of my knowledge. By signing below, I authorize J.W. Cole Financial to review my FINRA-CRD registration history.

Registered Representative Signature*

Date

TRANSFERRING YOUR BOOK OF BUSINESS

DIRECT ACCOUNTS

MUTUAL FUNDS

Total Number of Accounts _____

List Mutual Fund Companies/Notes :

VARIABLE ANNUITIES

Total Number of Accounts _____

List Variable Annuities Companies/Notes :

ALTERNATIVE INVESTMENTS

Total Number of Accounts _____

List Alternative Investment Companies/Notes :

INSURANCE PRODUCTS

Total Number of Accounts _____

List Current FMOs/Insurance Companies:

How do you currently receive insurance commissions?

BROKERAGE ACCOUNTS

Total Number of Accounts _____

ACCOUNT CHARACTERISTICS/REGISTRATIONS - Mark all that apply

Alternative Investments

IRA BDA (Beneficiary)

RMDs

Check writing

Non-Prototype (401k)

Trust

Debit Card

Options/Margin

Other: _____

PIPs/SWPs

OPTIONAL ACCOUNT CHARACTERISTICS - Mark all that apply

Outside linked annuities

E-statements for clients

Client on-line access

Client on-line bill pay

Company logo on statements

ADVISORY ACCOUNTS

Total Number of Accounts _____

Do you manage assets yourself? Yes No

Where are assets custodied? _____

Do you have Discretion? Yes No

Does the client pay a ticket charge or bps fee for trading? Ticket Charge bps Fee

Management Fee is: Flat Fee Tiered Fee Do you utilize Investnet currently? Yes No

3RD PARTY BUSINESS

Do you utilize 3rd party managers? Yes No

List managers: _____

Do you charge management fee on VA? Yes No

List companies: _____

Do you use a 3rd party manager on VA? Yes No

List managers: _____

FINANCIAL PLANNING/CONSULTING

Do you provide Financial Planning/Consulting? Yes No

Agreement is: Ongoing One-Time Fee

Charges are: Hourly Flat If hourly, what is the rate? _____

CONSUMER REPORT AUTHORIZATION

In connection with your application to associate with J.W. Cole Financial, Inc. (“J.W. Cole”), J.W. Cole may, upon execution of this authorization, investigate the information on your application, and other relevant background information to determine and confirm your history noted in your application. The scope of the Consumer Report(s) requested by J.W. Cole may include information relating to your academic achievement, employment history, criminal history, credit history, and Social Security Number verification. J.W. Cole reserves the right to review your consumer report at any time during your association with J.W. Cole.

If you do not authorize J.W. Cole to conduct your Consumer Report review, you will not be considered for association with the Firm. If applicable, your application may be withdrawn, and/or your association with the Firm may be terminated. Candidates should be aware that certain findings in their initial or future Consumer Report(s) may result in their disqualification to associate with J.W. Cole.

J.W. Cole does maintain confidentiality of your information under Regulation S-P.

Under the Fair Credit Reporting Act you have the right, upon written request made within a reasonable time (not to exceed 30 days) after receipt of this notice, to obtain a copy of the information J.W. Cole reviewed as part of your background check.

Please read the following important notices:

- ❖ All non-registered individuals that affiliate with your office and/or J.W. Cole Insurance Services, must have their consumer report cleared by compliance and have completed finger prints on file with FINRA before any technology ID’s (e.g., email, Streetscape, JWConnect, Albridge, Black Diamond, Repertoire, MarketingPro, etc.) may be distributed.
- ❖ All registered individuals that affiliate with your office and/or J.W. Cole Financial, Inc., J.W. Cole Advisors, Inc. or J.W. Cole Insurance Services, must have their consumer report cleared by compliance, be approved in their home state and with FINRA and have completed fingerprints on file before any technology ID’s (e.g., email, Streetscape, JWConnect, Albridge, Black Diamond, Repertoire, MarketingPro, etc.) may be distributed.
- ❖ The consumer report process and review may take up to 10 business days or more depending on the geographical location of the registered branch.

I understand that the falsification, omission or misrepresentation of fact relating to my application may be cause for denial of association or immediate termination, regardless of when or how discovered.

Candidate Signature*

Date

* “Initials” and a “signature” include a manual signature or an electronically transmitted equivalent. For purposes of this authorization, a signature is effected by typing a name in the designated initials and/or signature fields. By typing initials and/or name, signatory acknowledges and represents that the entry constitutes in every way, use, or aspect, his or her legal binding initials and signature.