



**E. Operations information**

Please list approximately how many accounts you have of the following:

\_\_\_\_\_IRA's            \_\_\_\_\_DVP's            \_\_\_\_\_ACH  
\_\_\_\_\_Margin            \_\_\_\_\_Offshore            \_\_\_\_\_Checkwriting

What fee based products are you currently using? \_\_\_\_\_  
\_\_\_\_\_

What third-party managers are you currently using? \_\_\_\_\_  
\_\_\_\_\_

What is important to you in your broker/dealer relationship? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Why are you considering leaving your current firm? \_\_\_\_\_  
\_\_\_\_\_

What is the time frame in which you are looking to move from your current firm? \_\_\_\_\_

Are you currently under a contract?     Yes     No    If so, when does it expire? \_\_\_\_\_

Are you working under a "Non-Compete" agreement?     Yes     No  
If so, please explain and attach a copy of the agreement \_\_\_\_\_  
\_\_\_\_\_

Please list specific issues and/or needs you would like us to address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**F. Checklist**

- Yes       No      Do you maintain client accounts that have debit balances in excess of \$250,000?
- Yes       No      Do you maintain any accounts with large or concentrated positions? (50% of account value in one position where position is greater than \$250,000)
- Yes       No      Do you maintain discretionary accounts? If so, how many? \_\_\_\_\_
- Yes       No      Do you maintain accounts that could be categorized as “day traders”?
- Yes       No      Do you maintain accounts for clients who are large shareholders or could be “insiders” or “control persons” of corporations? (i.e. senior officers, directors, and holders of 10% or more of the outstanding shares)
- Yes       No      Do you have any RIA business?
- Yes       No      Do you use any personal marketing material such as biography, personalized newsletters, video business cards, personal website, etc.? (if so, please provide a copy to the Prospera Compliance Department for review and approval.)
- Yes       No      Do you participate in any outside activities? (civic, non-profit, educational, other business, etc.) If so, please describe:  
\_\_\_\_\_  
\_\_\_\_\_

**G. References (optional)**

Please list references which we may contact NOW. These may include colleagues, former managers, related industry contacts such as wholesalers, money managers, and/or clients.

Name _____	Relationship _____	Phone _____
Name _____	Relationship _____	Phone _____
Name _____	Relationship _____	Phone _____

**H. Pre-hire consent/statutory disqualification of questionnaire for prospective employees**

Note: Any misrepresentation or omission of information in answering this questionnaire, including any failure to respond to this questionnaire, will constitute sufficient cause for not making or for withdrawing any offer of employment or for immediate dismissal from Prospera Financial Services employment or affiliation if information inconsistent with the answers below is subsequently disclosed or discovered.

- Yes       No      Have you ever been convicted of, pled guilty, or pled nolo contendere to any criminal action, felony or other legal action in the United States within the last 10 years?

Yes       No      Have you ever been convicted of, pled guilty, or pled nolo contendere within the last 10 years to any criminal or civil offense in a foreign country which would be considered a felony if committed within the United States?

Yes       No      Have you ever been permanently or temporarily enjoined by any state or federal court from engaging in any conduct relating to any securities, commodities, insurance or banking matters?

Yes       No      Have you ever been the subject of any action or proceeding by any regulatory or self-regulatory organization, or been found to have violated (or aided, abetted, induced or failed to supervise the violation of) any of the federal securities or commodities laws?

If "yes" to any of the above, please explain in detail and fax a copy of the indictment and the order of conviction and sentence.

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Yes       No      Have you had any client complaints against you that may not be evident on your CRD records?  
If so please explain \_\_\_\_\_

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I authorize Prospera Financial Services to investigate and verify any of the information referenced above including but not limited to: employment history, credit history, education verification, criminal records, DMV Report, verification of references, civil records search, registration history through the FINRA Central Registration Depository, and background through other service bureaus. I understand that Prospera Financial Services will keep this information strictly confidential and I release Prospera Financial Services from any liability whatsoever in connection therewith. I understand that I am obligated to immediately report to the Prospera Compliance Department any event that would cause any of the answers indicated above to become inaccurate in any manner.

Applicant Signature \_\_\_\_\_ Date \_\_\_\_\_

CRD Number \_\_\_\_\_

DOB \_\_\_\_\_