

H.D. Vest Registered Representative and Investment Adviser
Pre-Application and Registration Consent

Affiliation Option (Select Only One)

- New Registered Representative
Transfer Registered Representative
Transfer Registered Representative with Investment Adviser Representative

Personal Information

Legal Name: _____
Birth Date: ____/____/____ SSN: ____-____-____
Phone Number: _____ E-mail: _____

Mailing Address:

Street City State Zip

Exam Requests (New Applicants Only)

Which exams would you like to complete: 6 7 63 66
In which states would you like to be registered: _____

Transfer Requests (Transfer Applicants Only)

Which licenses would you like transferred: 6 7 63 65 66
In which states would you like to be registered: _____

Signatures

By my signature below, I hereby give my consent to H.D. Vest Investment ServicesSM and its affiliates, designated agents and representatives, where I am being considered for registration, to access my registration records through the FINRA Central Registration Depository (CRD) and Investment Adviser Registration Depository (IARD) systems and verify my employment history, information and disclosure events (if applicable). In addition, I release HDVIS and its designated agents and representatives to conduct 'Credit History' reviews to render such report(s) to the requesting agency in accordance with the Fair Credit Reporting Act (Public Law 91-508, Paragraphs 604 and 505). The requestor certifies that this request for 'Credit History' review is for the sole purpose(s) of Consumer Credit Transactions/Credit Reviews I release HDVIS and its affiliates, designated agents and representatives to conduct a criminal history check.

I certify that all statements on this pre-application are true and correct. I understand that any omission or misinformation given on this application may disqualify me from affiliation with HDVIS.

Applicant Signature Date Print Name

INTERNAL H.D. VEST USE ONLY

Recruit Plus ID: _____ Recruiter: _____ Date Received: _____
CRD #: _____ CRD Reference # _____ Date Created: _____

Once complete, please fax to Advisor Recruiting at (972) 870-6392.

Investment and Insurance Products: NOT FDIC Insured | NO Bank Guarantee | MAY Lose Value
Securities offered through H.D. Vest Investment ServicesSM, Member: SIPC
Advisory Services Offered through H.D. Vest Advisory ServicesSM
6333 N. State Highway 161, Fourth Floor, Irving, TX 75038 (972) 870-6000