

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 IAR

Personal Information

Legal Name: _____ CRD #: _____
 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 65 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 authorize H.D. Vest Investment ServicesSM to verify my previous employment and registration history through the FINRA Central Registration Depository (CRD) and IARD System. I understand this access is kept confidential between H.D. Vest Investment Services and me.

 Applicant Signature Date Print Name

INTERNAL H.D. VEST USE ONLY

Recruit Plus ID: _____ Recruiter: _____ Date Received: _____
 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
 For Internal Use Only
 Securities offered through H.D. Vest Investment ServicesSM, Member SIPC,
 Advisory Services Offered through H.D. Vest Advisory ServicesSM,
 Non-bank subsidiaries of Wells Fargo & Company,
 6333 N. State Highway 161, Fourth Floor, Irving, TX 75038 (972) 870-6000.