HARBOUR INVESTMENTS, INC.
Brokerage Services
& Financial Consultants

NEW REPRESENTATIVE APPLICATION

1. Personal Information:

Full Name: ______ Social Security #: ______

Home Address: ______ Date of Birth: ______

City: ______ State: ______ Zip: ______ Home Phone: ______

Email Address: ______ Cell Phone: ______

2. Business Information: (Please complete or attach business card.)

Business Name (dba): ______

Current Broker/Dealer: ______

Business Address: ______

City: ______ State: ______ Zip: ______

Bus. Phone: ______ Fax #: ______

Where would you prefer to be contacted? ❑ Business ❑ Cell ❑ Home

Reason(s) for Broker/Dealer search:

How did you hear about us?

Anticipated Transition Date: ______

List all others who will be transferring with you and their role/responsibilities:

Do you have a non-compete or similar agreement? ❑ Yes ❑ No

What are the terms of the agreement?

3. Licensing & Registration Information: (Please check all that apply.)

FINRA Registrations: ❑ 6 ❑ 7 ❑ 24 ❑ 26 ❑ 63 ❑ 65 ❑ 66 Other ______

List states: ______

Insurance licenses: ❑ Life ❑ Accident & Health ❑ Property & Casualty ❑ Variable Annuities (where applicable)

List states: ______

❑ Designations: (*CFP, CLU, ChFC, CFA,CIC, PFS, etc.*) ______

Investment Advisory (Fee Based) Activity: (*Please check all that apply.*)

❑ Are you an Investment Advisor Representative (IAR) ❑ Yes ❑ No (*If no, skip to "Production History".*)

List states currently licensed: ______

❑ Do you currently have your own RIA? ❑ Yes ❑ No If yes, ❑ Federal ❑ State

List states in which you notice file: ______

Which of the following services do you provide?

❑ *Fee Based Financial Planning (Hourly or Flat fee)*
What is your typical hourly or flat fee?

❑ *Fee Based Asset Management (Wrap Accounts)*
What is your advisory fee schedule?

❑ *Third-Party Money Managers / Separately Managed Accounts*
What is your advisory fee schedule?
List all managers you use:

4. Production History:

What is your current payout percentage? __________

Gross Revenue (GDC)	**Current Year**	**Prior Year 1**	**Prior Year 2**
Total from Securities Commissions	______	______	______
Total from Advisory Fees	______	______	______
Total Other	______	______	______
Total Revenue	______	______	______

** ***Attach a copy of your previous year and year to date commissions statements to demonstrate proven production.***

What do you anticipate your Gross Revenue to be within the **first 6 months** and the **first year** of your transition date to Harbour Investments?

5. Business Mix:

Assets expected to be transferred (Commissions & Fee-based) $

Please indicate the approximate percentage of your total business revenue that is represented by each product.

Mutual Funds	______%	Managed Accounts	______%	EIA's	______%
Variable Annuity	______%	Wrap Accounts	______%	Fixed Annuity	______%
Stocks	______%	Life Insurance	______%	Long Term Care	______%
Bonds	______%	Other	______%		

Do you currently sell EIA's or intend to in the future? ❑ Yes ❑ No

How are you assets held?

Direct at Fund or Insurance Co ______% *Approx # of accounts:* _____

in Brokerage Accounts ______% *Approx # of accounts:* _____ *Clearing Firm Name:*

Total __100 %

6. Current Business:

List all Mutual Fund Families:

List all Variable Annuity Companies: *(New appointments will need to be processed for those listed.)*

List all Fixed Insurance Companies: *(New appointments will need to be processed for those listed.)*

7. E & O Information

Current Policy Period:

Coverage:

Do you have proof of continuous prior coverage? ❑ Yes ❑ No

Premium $

8. Compliance Information:

Are you currently engaged in any outside business activity (other than the activities performed as a registered representative) either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise? ❑ Yes ❑ No (If yes, please explain or attach additional documentation.)

In the past 10 years, have you had any events or proceedings that have resulted or could result in a disclosure filing ("yes" answer) on your Form U-4? ❑ Yes ❑ No *(If yes, check below which apply and explain or attach additional detailed documentation.)*

❑ Criminal Action

❑ Regulatory Action

❑ Civil Judicial Action

❑ Customer Complaint/Arbitration/Civil Litigation

❑ Bankruptcy

❑ Bonding (Denied, paid out or revoked)

❑ Unsatisfied Judgment

❑ Terminated for cause

9. Please provide a brief description of your business model. (Attach additional information if necessary.)

CONSENT TO CONDUCT BACKGROUND INVESTIGATIONS

Upon consent, Harbour Investments, Inc. has the authority to conduct a pre-hire investigation or post hire review using the FINRA-CRD System and to obtain a consumer report from TransUnion LLC prior to contracting and/or registering any of its representatives. *[For California, Minnesota and Oklahoma residents only - When we obtain our TransUnion LLC consumer report do you wish to receive a copy of that report? ❑ Yes ❑ No (If yes, your request will be forwarded to TransUnion, LLC.)]*

By signing below, I hereby authorize Harbour Investments, Inc. to obtain any and all necessary information pertaining to my credit history and securities industry background as I seek to pursue or continue contracting with and/or securities registration through Harbour Investments, Inc. as my broker/dealer.

I further attest that this consent indemnifies and holds harmless Harbour Investments, Inc. and any/all sources of information from any actions for the information that it is given.

I hereby certify that to the best of my knowledge and belief the information contained in this New Representative Application is true and correct.

____

Signature of Representative

Date

Do Not Write In This Area/For Harbour Home Office Use ONLY

Two Senior Management signatures required for approval:

Approved by______________________________Approved by______________________________

Rep #__________CRD #__________________________ Payout Level__________________

Special Considerations:____

H:/Recruiting Kit/New Rep Application.doc, Rev. 12/2008

Hobbies, Interests, Activities, Etc. (This section is optional)
At Harbour, we enjoy knowing our Representatives as friends and close associates. Now that we know more about your business, we would like to know more about you. We'll leave this section open-ended, so feel free to share with us what you enjoy or what is important in your life.

Spouse or significant other:

Family - Children & ages

Education (high school, college)

Academic Awards Honors:

Activity/Sport Clubs:

Social/Recreation Group Activities:

Clubs/Organizations:

Volunteer Work:

Hobbies:

Favorite Sports Teams:

Favorite Restaurant, Food or Beverage:

Awards/Achievements (personal or business):

Favorite Vacation/Travel Spot, Second Home

Military Service:

Children's hobbies and interests:

Other interesting facts: