

# NEW ADVISOR APPLICATION

HARBOUR INVESTMENTS



## PERSONAL INFORMATION

Full Legal Name

Date of Birth

Preferred Name

Social Security Number

Home Address

Personal Phone Number

Cell

Home

City

State

Zip

Current Broker/Dealer

Personal Email

CRD #

Series Licenses

## BUSINESS INFORMATION

Business Name (DBA)

Business Phone

Business Address

Fax Number

Suite/Floor Number

City

State

Zip

Business E-mail

Contact Preference

Personal Email

Business Email

Personal Phone

Business Phone

Who will be transferring with you?

Licensed

Name

Role

Yes

No

## BUSINESS MODEL - PRODUCING ADVISORS ONLY

Please provide a brief description of your business model:

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Harbour Investments, Inc.

# PRODUCTION INFORMATION



## PRODUCTION HISTORY

*\*Please attach a copy of your previous year and year to date commission statements to demonstrate proven production.*

What is your current payout percentage:

Gross Revenue	2024	2023	2022
Total Advisory Fees	<input type="text"/>	<input type="text"/>	<input type="text"/>
Total Securities Commissions	<input type="text"/>	<input type="text"/>	<input type="text"/>
Total Trailing Revenue	<input type="text"/>	<input type="text"/>	<input type="text"/>
Total Other	<input type="text"/>	<input type="text"/>	<input type="text"/>
Grand total	<input type="text"/>	<input type="text"/>	<input type="text"/>

Anticipated Gross Revenue within the first 6 months of your transition date with Harbour?

Anticipated Gross Revenue within the first year of your transition date with Harbour?

## ASSETS EXPECTED TO BE TRANSFERRED

	Number of Accounts	Total Assets
Advisory AUM	<input type="text"/>	<input type="text"/>
Brokerage Accounts (Commission)	<input type="text"/>	<input type="text"/>
Accounts Held Direct	<input type="text"/>	<input type="text"/>
Fixed Accounts	<input type="text"/>	<input type="text"/>



# COMPLIANCE DETAILS



## INSURANCE LICENSING INFORMATION

Insurance Licenses:

Life

Accident & Health

Property & Casualty

Variable Annuities

EIA

## 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 on your Form U-4?

Yes

No

\*If yes, please explain or attach additional documentation

## 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 Advisors. [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? (If yes, your request will be forwarded to TransUnion, LLC.)]  Yes  No

By signing below, I hereby authorize HarbourInvestments, 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 Advisor Application is true and correct.

\_\_\_\_\_  
Signature Of Advisor

\_\_\_\_\_  
Date

Two Senior Management Signatures Required for Approval:

Approved by: \_\_\_\_\_

Approved by: \_\_\_\_\_



Harbour Investments, Inc.

# PERSONAL INFORMATION



At Harbour, we enjoy knowing our advisors as close associates and friends. 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.

## *Personal*

Spouse or significant other:

Children & ages:

Children's interests:

Pets

Hobbies:

Favorite sports team:

Favorite restaurant or beverage:

Favorite vacation/travel area:

## *Academic*

Education:

Awards/honors:

## *Business*

Awards/achievements:

Designations:

## *Civic*

Clubs/organizations:

Group activities:

Volunteer work:

THANK YOU FOR YOUR INTEREST



Harbour Investments, Inc.