



CONSENT TO CONDUCT & RELEASE BACKGROUND INVESTIGATIONS

Upon consent, Harbour Investments, Inc. has the authority to conduct a pre-hire investigation using the FINRA-CRD System and to obtain a consumer report from TransUnion LLC. *[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 personal information, credit history and securities industry background.

Harbour reserves the right to share this information with your affiliated Representative.

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, _____ give Harbour Investments, Inc. consent to
Print Full Name

release information obtained from FINRA CRD System, TransUnion LLC or any other source to

_____ during the pre-hire period and at any
Affiliated Representative

point during my employment.

Signature

Date

NON-LICENSED ASSISTANT REQUIRED INFORMATION

Full Name: _____

Social Security #: _____

Date of Birth: _____

Address: _____

****A copy of driver's license is required with this form**

****Include Non-Licensed Assistant Questionnaire with this form**

****There will be a \$10.00 monthly fee per non-licensed assistant**

****There will be a \$25.00 background check fee, along with a \$35.00 Fingerprint Fee**

****Please allow a 2 week turn-a-round for assistant approval process from Harbour & FINRA fingerprint processing**



Non-Licensed Assistant System Access Questionnaire

As part of our on-boarding and training process, we have a few questions and a checklist below that we would like you to complete. All items should be completed prior to your assistants start date. If you have any questions, please contact the Licensing Department.

Advisor Name: _____ Advisor ID: _____

Assistant Name: _____

Assistant Start Date: _____

System Access (Check all that apply)

Harbour Website access is automatic, if they have an email address

_____ Atlas – No Commission Access

_____ Atlas - Commission Access

_____ Schwab

_____ Quik!

_____ NetX360 – Brokerage
(\$35.00 per month)

_____ NetX360 – Pershing Advisor Solutions

_____ Morningstar Office

_____ Harbour DocuSign

Training on Harbour Systems

** Harbour does not train on your personal business practices, we only train on the Harbour systems**

_____ Yes - Specific areas to focus on? _____

_____ No - Reasoning? _____

Email

Will your assistant have an email through your own domain?

_____ Yes - What is that email? _____

_____ No - Would you like a hirep.net domain? _____ Yes _____ No

Would you like them added to Harbour's email distribution list for operational and compliance updates? _____ Yes _____ No

Rush Background Check Option

Need your background check processed faster? For a \$100 rush fee, we'll prioritize your application for same-day processing (excluding fingerprinting).

_____ Yes, I want to add the \$100 Rush Fee for same-day processing (excluding fingerprinting)