



Registered Rep Application

1. Applications should be submitted approximately 6-8 weeks prior to desired transition date.
2. The following information should be submitted with the application, if applicable:
 - a. Registered Rep Agreement and Privacy Policy with your current firm.
 - b. Written explanation and any supporting documents for any “yes” answers to the background questions on page 3 of the application.
 - c. Certificates of completion for any firm element training completed during the year.
3. If you are a Registered Investment Advisor, please enclose a copy of Part 1, 2A and 2B of your ADV and Advisory Agreement.

Fingerprint Scheduling Information

1. SEC Rule 17f-2 requires fingerprinting of all securities personnel each time you register with a FINRA member firm.
2. Important Note: *If you are currently registered with a FINRA member firm, you should wait to have your fingerprints taken until you resign, to avoid notification to your firm.*
3. Fingerprints can be scheduled at www.brokerfp.com using the **Concorde reference code fpconcordeservicesap**.
4. Follow the instructions to create a username and password to enter the system. The website will prompt you to enter your location information to assist in finding a local facility to schedule your appointment.

Concorde Representative Application

Personal Information

Name (First, Middle, Last)		CRD #	
Residential Address	City	State	Zip Code
Social Security Number (XXX-XX-XXXX)	Date of Birth (mm-dd-yyyy)	Cell Phone	
Home Phone	Personal Email Address		
Emergency Contact: Name and Relationship		Phone	

Business Address

Same as personal address? Yes

Address	City	State	Zip Code
Business Phone	Business Email	Website	
This location is a : <input type="checkbox"/> Physical Location <input type="checkbox"/> Mailing <input type="checkbox"/> Office of Convenience <input type="checkbox"/> Shared Office/Meeting Space			

Broker/Dealer History (Current or Last Broker Dealer / Place of Business)

Name	Firm CRD #		
Address	City	State	Zip Code
Phone	Website	Compliance/Licensing Contact	

Employment Status:

Currently Employed: If not currently employed, what was your employment end date? _____

Why are you leaving your current broker dealer? _____

What date do you expect to register with Concorde? _____

Licensing Profile

Licenses Held:

SIE Series 6 Series 7 Series 22 Series 24 Series 26 Series 27 Series 99 Series 63 Series 65
Series 66 Series 79 Series 9/10 Series 52 Series 53 Other: _____

Concorde Representative Application (Continued)

Industry Designations:

LUTCF CFP ChFC CSA CPA RICP CFA PFS CIC Juris Doctor Real Estate Broker
 Real Estate Agent Other: _____

Insurance Licensing Information:

Are you insurance licensed? Yes No If yes – insurance licenses held: Life Health Variable Property/Casualty

State Insurance Licensed: _____

Field Marketing Organization Used: _____

Business Background

Production Information: Most Recent Payout: _____%

Gross Dealer Concession	Year to Date	Last Year	Year Before
Securities	\$	\$	\$
Insurance	\$	\$	\$

List states in which you are currently registered for securities transactions: _____

Current broker dealer custodians: _____

List Sponsor/Vendor Companies you prefer to do business with (e.g., mutual fund, insurance, alternative investment, etc., to ensure the firm has the appropriate selling/servicing agreements in place):

Business Mix Percentage

Retail - Brokerage _____% Mutual Funds _____% Alternative Investments _____%
 Fixed Insurance _____% Variable Products _____% Other _____%

Advisory (if applicable) - Brokerage _____% Mutual Funds _____% Alternative Investments _____%
 Fixed Insurance _____% Variable Products _____% Other _____%

Transition Plan

Do you have any restrictions on your activities from your current BD? Yes* No *If yes, please attach separate written explanation.

Is your current Broker-Dealer a member of Broker Protocol? Yes No

Note: If your current BD participates in Broker Protocol, you may only take the following account information: client name, address, phone number, email address, and account title of the clients that you serviced while at the firm and are prohibited from taking any other documents or information. Please provide a copy of your Rep Agreement and Privacy Policy with your current firm. Applicants will not be approved for registration until these documents are provided.

Approximate number of:

_____ Customers (# of households)

_____ Account Registrations
 (total Individual, IRA, Joint Accounts)

_____ Brokerage Accounts

_____ Non-Brokerage Accounts

Concorde Representative Application (Continued)

Investment Advisor Representatives:

1. Are you an Investment Adviser Representative intending to affiliate with Concorde Asset Management? Yes No
2. Do you intend to maintain registration with an unaffiliated "outside" Registered Investment Advisor? Yes* No
 - a. *If yes, are you registered with: SEC State

Date Registered Number of Clients Total Assets Under Management Name of RIA Custodian

- **Note: If you are a Registered Investment Advisor, you will be required to furnish certain books and records concerning RIA activity to the Broker Dealer on a regular basis.**
- **Please enclose a copy of Part 1, 2A and 2b of your ADV and Advisory Agreement.**

Background Questions – If you answer yes to any of the following questions, please attach a separate written explanation.

1. Have you received any verbal or written complaints in the past 24 months? Yes No
2. Do you have any U-4 disclosure events that are not showing on your Form U4? Yes No
3. Do you have any current or pending disclosure events ("Yes" answers) on your form U-4? Yes No
4. Are there any special supervisory procedures required for you? Yes No
5. Are you currently involved in the offer of, or otherwise participating in, any type of private placement? Yes No
6. Have you completed Firm Element C.E. this year?* Yes No
*If yes, please include certificates of completion or AI Insight records
7. Do you maintain an email address that uses your company name (e.g. rep@ABCwealthmanagement.com)? Yes No
8. Do you maintain a separate domain for your email address (e.g. does your email address contain your website or another outside domain's website, or is it the same website as your broker-dealer's)? Yes No
9. Do you have an assistant or other clerical support that assists you with client information? Yes No
 - a. If yes, are they registered to sell securities products? Yes No

Outside Business Activities

Are you currently engaged in any other business activities as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise? (As a general rule, if you receive compensation for an activity, then it is recognized as "Outside Business"):

Yes No

***If yes, please provide the following details for each outside business**

Outside Business Activity #1 (if applicable)

Name of Business Nature of the Business

Address of the Business

Is the business investment-related? Yes No **(Note: real estate, insurance, investment advisory services, oil & gas, and rental properties are all considered to be investment-related)**

Your Position, Title, or Relationship with the Business: _____

Description of Activities:

Start Date with Business Email Address used to communicate for OBA Website

List any Social Media site used in relation to OBA (LinkedIn, Twitter, Facebook, YouTube, Instagram, Other...)

Concorde Representative Application (Continued)

Outside Business Activity #2 (if applicable)

Name of Business

Nature of the Business

Address of the Business

Is the business investment-related? Yes No **(Note: real estate, insurance, investment advisory services, oil & gas, and rental properties are all considered to be investment-related)**

Your Position, Title, or Relationship with the Business: _____

Description of Activities:

Start Date with Business

Email Address used to communicate for OBA

Website

List any Social Media site used in relation to OBA (LinkedIn, Twitter, Facebook, YouTube, Instagram, Other....)

Outside Business Activity #3 (if applicable)

Name of Business

Nature of the Business

Address of the Business

Is the business investment-related? Yes No **(Note: real estate, insurance, investment advisory services, oil & gas, and rental properties are all considered to be investment-related)**

Your Position, Title, or Relationship with the Business: _____

Description of Activities:

Start Date with Business

Email Address used to communicate for OBA

Website

List any Social Media site used in relation to OBA (LinkedIn, Twitter, Facebook, YouTube, Instagram, Other....)

Other Questions

How did you hear about Concorde? _____

If there is any additional information you would like to provide us as part of your application, please provide below:

Concorde Representative Application (Continued)

Notification

Statements made within these documents are representations on which Concorde Investment Services ("Concorde") and its officers, directors, employees, affiliates, and related insurance agencies, or any insurance company ("Company"), may rely in considering your request for registration/ appointment as a representative of Concorde. Throughout this document, Concorde discloses to you that an investigative consumer report(s) is being obtained from a consumer reporting agency for the purpose of evaluating you and your financial responsibility for association with Concorde, and for consideration of your eligibility for any licenses, as required by law, necessary for your association with Concorde. This consumer report may contain information bearing on your creditworthiness, credit standing, credit capacity, character, general reputation, and/or mode of living, from public record sources. You have the right to request additional disclosures regarding the nature and scope of the investigation. Additional information as to the precise nature and scope of the investigation, if one is made, will be provided to you upon written request. This notification is made in accordance with the Fair Credit Reporting Act, as amended.

In order to perform a background check, please provide the following information:

_____ First/Last Name	_____ Date of Birth	_____ Social Security Number	
_____ Current Residential Address	_____ City	_____ State	_____ Zip Code

Release and Authorization

I hereby authorize Concorde, or its authorized agents or affiliates ("Concorde"), to investigate and verify any of the information referenced on this Pre-Hire and Disclosure Form, and to search for and obtain copies of recorded information concerning me. These include but are not limited to the following: employment history, securities registration history, NYSE records, National Insurance Producer Registry records, FINRA CRD records, criminal records (felony and misdemeanor), bankruptcy records, consumer credit reports and educational background. And general character, through available sources including service bureaus and consumer reporting agencies. I authorize and request that former employers, insurance companies, or any other person, furnish to Concorde and/or its agents, any information in their possession concerning my creditworthiness, character, ability, business activities, educational background, general reputation, together with, in the case of former employers, a history of my employment and the reason(s) for the termination thereof.

I understand and agree that I may be the subject of an investigative consumer report(s) ordered by Concorde and I hereby waive any requirement of prior notification. I understand that I have a right to request in writing, disclosure of any investigation by Concorde, including the nature and scope of any such investigation and to be given the name, address and phone number and scope of the request, if applicable. I understand that I have the right to obtain a copy of such Credit Report, and I understand and agree that any misrepresentation of the facts contained herein constitute grounds for termination for cause.

If I signed a prior representative agreement that contains a covenant against competition and Concorde grants my application for association, I understand that I will be solely responsible for any violation or breach of such agreement that may arise out of my activities while associated with Concorde and I hereby agree to indemnify and hold Concorde harmless from any liability thereunder.

I understand that my application for association can only be approved by the registered principals of Concorde. I understand that all fees paid to Concorde are non-refundable. I hereby release Concorde from any liability arising out of the application process.

Signature

Date

Fee Schedule – Effective March 21, 2023

REGISTRATION – INITIAL FEES

FINRA Registration Application	\$ 125.00
FINRA Fingerprint Processing	\$ 31.25
FINRA Disclosure Review	\$ 155.00
Branch Office Registration	\$ 175.00
Investment Advisor Registration	\$ 100.00
Concorde Processing & Service Fee	\$ 100.00
State Registration Fee(s)	Varies
State B/D registration fees:	BD State Fees
State IAR registration fees:	IAR State Fees

ANNUAL FEE

Annual Firm Element Continuing Education	\$ 125.00
Biennial Branch Office Inspection	\$ 1,000.00
Signature Guarantee Stamp (Principals only)	\$ 600.00

MONTHLY FEES

Errors & Omissions Insurance	\$ 500.00
Technology Fee*	\$ 208.00
Registered Assistant Technology Fee	\$ 165.00
Non-Registered Asst Technology Fee	\$ 135.00

***Monthly Technology Fee** – Base package may include Concorde hosted email address and full suite of M365 tools, commission dashboard, workflow and integrated form solution, compliance bundle and supervision service, and cyber security insurance. Will also include an additional \$10 per month for AI Insight if applicable, which is required if you are working with alternative investments.

ANNUAL SOCIAL MEDIA/WEBSITE ARCHIVING FEES (IF APPLICABLE)

Website	\$ 183.48	Company LinkedIn Page	\$ 180.60
Global Relay Text Messaging	\$ 240.00	Facebook	\$ 61.20
Outside Business Activity email archival	\$ 72.00	YouTube	\$ 305.76
My Rep Chat Archiving	\$ 72.00	LinkedIn	Incl in Tech Fee
Mass Marketing Email Archival	\$ 40.00	Twitter	Incl in Tech Fee

ADDITIONAL PLATFORM OFFERINGS (OPTIONAL)

Albridge Wealth Reporting – Light	\$ 76.00/month	FMG Marketing	
Albridge Wealth Reporting – Full	\$ 176.00/month	FMG Suite	\$ 149.00/month
AdvisorStream	\$ 175.00/month	Advisor Launchpad	\$ 49.00/month
Advisor Websites			
Traction Website Plan	\$ 1,428.00/year		
Expansion Website Plan	\$ 2,028.00/year		
Tycoon Website Plan	\$ 3,180.00/year		

OFF-BOARDING FEES

Device Offboarding	\$ 175.00
FINRA Offboarding Fees*	\$ 50.00
*For registered individuals only	
Concorde Processing Fees	\$ 60.00

OTHER

Additional Device Onboarding	\$ 175.00/device
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Important Notice: Monthly fees are automatically deducted from commissions on the 15th of each month. If commissions are not sufficient to cover your monthly fees, your credit card will be charged. All Representatives are required to have a valid credit card on file with the Accounting Department; unpaid past due balances over 90 days will result in termination of registration with Concorde. Prices are subject to change.