

REGISTRATION FILE REVIEW

Employee Name: _____

Reviewer: _____ Date: _____

REGISTERED EMPLOYEE	NON-REGISTERED EMPLOYEE
<p>Previous firm U5 Disclosures Yes No U4 (Signature Page, Present & Clear) ID Annual Compliance Questionnaire Brokerage Accts Attestation Brokerage Acct Stmt Received Authorization Email Outside Business Attestation (w Wikicorp Audit) Arbitration Disclosure Confidentiality Agreement Insider Trading Policy WSP - Delivery and ATTESTATION Training - (AML, Privacy, Communications) Fingerprints CLER in WebCRD Previous 3 years employment verification (Below)</p>	<p>NRF Info Form ID Annual Compliance Questionnaire Brokerage Accts Attestation Brokerage Acct Stmt Received Authorization Email Outside Business Attestation (w Wikicorp Audit) Arbitration Disclosure Confidentiality Agreement Insider Trading Policy WSP - Delivery and ATTESTATION Training - (AML, Privacy, Communications) Fingerprints CLER in WebCRD Previous 3 years employment verification (Below)</p>
Previous 3 Years Employment Verification	
<p>Company Name: Date Range Employed: Person Contacted: Telephone # Called: Date/Time of Call: Notes (optional)</p> <p>Company Name: Date Range Employed: Person Contacted: Telephone # Called: Date/Time of Call: Notes (optional)</p>	<p>Company Name: Date Range Employed: Person Contacted: Telephone # Called: Date/Time of Call: Notes (optional)</p> <p>Company Name: Date Range Employed: Person Contacted: Telephone # Called: Date/Time of Call: Notes (optional)</p>
TERMINATED EMPLOYEE	
Copy of U5 + Letter sent placed in Termed File	

Comments: