

Pre Hire Confidential Questionnaire

Date received: _____

Name: _____ DOB: _____

Referred by: _____ Social Security Number: _____

Email: _____

Home Address:

Street City State ZIP

Business Name and Address:

Street City State ZIP

Telephone:

Business () _____ Home () _____ Fax () _____

Are you currently securities licensed or have you been within the last 30 days?
_____ Yes _____ No

If securities licensed, indicate last year's income from broker dealer \$ _____
Please indicate any other income from sales of indexed annuities (if not included in broker dealer income): \$ _____

***ATTACH VERIFICATION (copies of Form 1099, W-2's etc.)**

Please provide an estimate of the percentage of time spent in the various business activities:

Mutual Funds _____% Variable Life _____% Variable Annuities _____% DPP/LP _____%

Traditional Life Ins./Fixed Annuities/EIA's _____% Other Non Investment Activities _____%

Are you currently licensed as an insurance agent? _____ Yes _____ No

PRE-HIRE AUTHORIZATION FORM TO ACCESS CRD HISTORY

The purpose of reviewing this information prior to processing any U-4 submitted is to determine

1. If the licensing transfer may be delayed due to disciplinary history or delinquent continuing education status.
2. If special supervision or training needs exist due to employment or disciplinary history, pursuant to FINRA Notice to Members 97-19.

Area to be accessed include, but may not be limited to, disciplinary history, employment history, and regulatory elements continuing education status as found on the WEBCRD. All information obtained will be used for hiring, licensing and compliance purposes only.

You will be notified by the Variable Investment Advisors, Inc. back office of any anticipated transfer delays.

The undersigned individual understands the foregoing and hereby authorized Variable Investment Advisors, Inc. to access his/her history on WEBCRD.

Full Name (print)

Signature

Date of Birth

Social Security Number

Today's date

CRD # (if known)

Comments: _____

