



Welcome to HBW Advisory Services LLC!

Please fill out the following pages as a first step in a valuable partnership with our firm.

If there are any questions, please don't hesitate to contact Todd Penrod at (800) 473-3856 Ext:163.

Send completed form to shannon.kent@hbwadvisory.com or fax (800) 636-1302 attn: **Shannon Kent**

A PERSONAL INFORMATION

Applicant Name (First, Middle, Last) _____
Social Security Number _____ Date of Birth _____
Residential Address _____ City _____ State _____ ZIP _____
Business Address _____ City _____ State _____ ZIP _____
Residential Phone _____ Cell Phone _____ Business Phone _____
Email Addresses _____

Please list all websites you own or operate that clients may visit, including all social networking sites (LinkedIn, Facebook, Twitter, etc.)

Website	Purpose	Business or Personal
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

Production Requirements: Minimum Assets Under Management (AUM) Requirements: 1st calendar year \$500,000 in new AUM, 2nd year \$750,000 in new AUM, 3rd year \$1,000,000 in new AUM or have a total of 10 Million in AUM.

PRODUCTION HISTORY FOR LAST TWO YEARS.

Year	Production	Year	Production
_____	_____	_____	_____

PERCENTAGE BREAKDOWN OF PRODUCTION BY PRODUCT TYPE

Product Type	Percent	Product Type	Percent	Product Type	Percent
Mutual Funds	_____ %	Variable Annuities	_____ %	Other	_____ %
Fixed Annuities / Insurance	_____ %	Variable Life	_____ %	Total	100 %

Please answer the following questions:

- ☐ Yes ☐ No Will you be joining an existing office with HBWAS? (If no, you will become your own office with HBWAS.)
If yes, what branch office are you joining? _____
- ☐ Yes ☐ No Will you be working with another HBWAS representative to become familiar with our processes and procedures?
If yes, who will you be working with? _____
- ☐ Yes ☐ No Are you comfortable with email and do you have the ability to check your email frequently?



Pre-Registration Form

3355 Cochran St, Suite 100, Simi Valley, CA 93063

Phone: (800) 473-3856 | Fax: (800) 636-1302

4. ☐ Yes ☐ No Are you currently employed?

If yes, provide the company name(s) and website(s) if available:

5. ☐ Yes ☐ No Do you have any current Outside Business Activities (OBA's)? This includes anything outside of HBWAS, whether compensated or not and whether investment related or not.

If yes, please list them:

6. ☐ Yes ☐ No Do you use any social networking websites (LinkedIn, Facebook, Twitter, etc.) for personal or business use?

If no, do you plan on using any in the future? Please explain:

7. How will you generate leads?

8. How will you get referrals?

9. How will you generate income?

10. What is your market?



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If you are already licensed, please answer the following questions:

11. ☐ Yes ☐ No Did you resign from your previous firm or were you released / terminated?

If no, please explain: _____

If you resigned, what was your reason for leaving? _____

What did you like about the firm? _____

What did you dislike about the firm? _____

If you were released / terminated, please provide a detailed explanation stating the reason for their decision.

(B) PROFESSIONAL LICENSES AND DESIGNATIONS

FINRA Registration: ☐ Initial ☐ Transfer

Check all exams/licenses that apply: ☐ 6 ☐ 7 ☐ 26 ☐ 63 ☐ 65 ☐ 66 ☐ Other _____

Other License Information: ☐ Life ☐ Health ☐ P&C ☐ Tax ☐ Other _____

States licensed in: _____

Other Designations (i.e. CPA, CFP, etc.): _____



C INVESTMENT ADVISORY REGISTRATION

☐ Yes ☐ No Are you currently registered with an Investment Advisory Firm?

If yes, list the name of the firm: _____

☐ Yes ☐ No Are you interested in registering with the Securities division?

If yes, please contact the Securities Licensing Department

Email: hbwcompliance@sageviewadvisory.com

D DISCLOSURE QUESTIONS SECTION 14 OF FORM U4

Criminal Disclosure

14A.

(1) **Have you ever:**

☐ Yes ☐ No (a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any felony?

☐ Yes ☐ No (b) been charged with any felony?

(2) **Based upon activities that occurred while you exercised control over it, has an organization ever:**

☐ Yes ☐ No (a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any felony?

☐ Yes ☐ No (b) been charged with any felony?

14B.

(1) **Have you ever:**

☐ Yes ☐ No (a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign or military court to a misdemeanor involving: investments or an investment-related business or any fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offences?

☐ Yes ☐ No (b) been charged with a misdemeanor specified in 14B(1)(a)?

(2) **Based upon activities that occurred while you exercised control over it, has an organization ever:**

☐ Yes ☐ No (a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to a misdemeanor specified in 14B(1)(a)?

☐ Yes ☐ No (b) been charged with a misdemeanor specified in 14B(1)(a)?

Regulatory Action Disclosure

14C.

Has the U.S. Securities and Exchange Commission or the Commodity Futures Trading Commission ever:

☐ Yes ☐ No (1) found you to have made a false statement or omission?

☐ Yes ☐ No (2) found you to have been involved in a violation of it's regulations or statutes?

☐ Yes ☐ No (3) found you to have been a cause of an investment-related business having it's authorization to do business denied, suspended, revoked, or restricted?

☐ Yes ☐ No (4) entered an order against you in connection with investment-related activity?

☐ Yes ☐ No (5) imposed a civil money penalty on you, or ordered you to cease and desist from any activity?

Regulatory Action Disclosure (Continued)

- ☐ Yes ☐ No (6) found you to have willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or found you to have been unable to comply with any provision of such Act, rule or regulation?
- ☐ Yes ☐ No (7) found you to have willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board?
- ☐ Yes ☐ No (8) found you to have failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

14D.

(1) Has any other Federal regulatory agency or any state regulatory agency or foreign financial regulatory authority ever:

- ☐ Yes ☐ No (a) found you to have made a false statement or omission or been dishonest, unfair, or unethical?
- ☐ Yes ☐ No (b) found you to have been involved in a violation of investment-related regulation(s) or statute(s)?
- ☐ Yes ☐ No (c) found you to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted?
- ☐ Yes ☐ No (d) entered an order against you in connection with investment-related activity?
- ☐ Yes ☐ No (e) denied, suspended, or revoked your registration or license or otherwise, by order, prevented you from associating with an investment-related business or restricted your activities?

(2) Have you been subject to any final order of a state securities commission (or any agency or officer performing like functions), state authority that supervises or examines banks, savings associations, or credit unions, state insurance commission (or any agency or office performing like functions), an appropriate federal banking agency, or the National Credit Union Administration, that:

- ☐ Yes ☐ No (a) bars you from association with an entity regulated by such commission, authority, agency, or officer, or from engaging in the business of securities, insurance, banking, savings association activities, or credit union activities; or?
- ☐ Yes ☐ No (b) constitutes a final order based on violations of any law or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

14E.

Has any self-regulatory organization or commodities exchange ever:

- ☐ Yes ☐ No (1) found that you have made a false statement or omission?
- ☐ Yes ☐ No (2) found you to have been involved in a violation of its rules (other than a violation designated as a "minor rule violation" under a plan approved by the U.S. Securities and Exchange Commission)?
- ☐ Yes ☐ No (3) found you to have been the cause of an investment-related having its authorization to do business denied, suspended, revoked or restricted?
- ☐ Yes ☐ No (4) disciplined you by expelling or suspending you from membership, barring or suspending your association with its members, or restricting your activities?

Regulatory Action Disclosure (Continued)

- ☐ Yes ☐ No (5) found you to have willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or found you to have been unable to comply with any provision of such Act, rule or regulation?
- ☐ Yes ☐ No (6) found you to have willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board?
- ☐ Yes ☐ No (7) found you to have failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

14F. ☐ Yes ☐ No **Have you ever had an authorization to act as an attorney, accountant or federal contractor that was revoked or suspended?:**

14G. **Have you been notified, in writing, that you are now the subject of any:**

- ☐ Yes ☐ No (1) regulatory complaint or proceeding that could result in a "yes" answer to any part of 14C, D or E?
- ☐ Yes ☐ No (2) investigation that could result in a "yes" answer to any part of 14A, B, C, D, or E?

Civil Judicial Disclosure

- 14H.** (1) **Has any domestic or foreign court ever:**
- ☐ Yes ☐ No (a) enjoined you in connection with any investment-related activity?
- ☐ Yes ☐ No (b) found that you were involved in a violation of any investment-related statute(s) or regulation(s)?
- ☐ Yes ☐ No (c) dismissed, pursuant to a settlement agreement, an investment-related civil action brought against you by a state or foreign financial regulatory authority?
- ☐ Yes ☐ No (2) **Are you named in any pending investment-related civil action that could result in a "yes" answer to any part of 14H(1)?**

Customer Complaint/Arbitration/Civil Litigation Disclosure

- 14I.** (1) **Have you ever been named as a respondent /defendant in an investment-related, consumer-initiated arbitration or civil litigation which alleged that you were involved in one or more sales practice violations and which:**
- ☐ Yes ☐ No (a) is still pending, or;
- ☐ Yes ☐ No (b) resulted in an arbitration award or civil judgment against you, regardless of amount, or;
- ☐ Yes ☐ No (c) was settled, prior to 05/18/2009, for an amount of \$10,000 or more, or;
- ☐ Yes ☐ No (d) was settled, on or after 05/18/2009, for an amount of \$15,000 or more?
- (2) **Have you ever been the subject of an investment-related, consumer-initiated (written or oral) complaint, which alleged that you were involved in one or more sales practice violations, and which:**
- ☐ Yes ☐ No (a) was settled, prior to 05/18/2009, for an amount of \$10,000 or more, or;
- ☐ Yes ☐ No (b) was settled, on or after 05/18/2009, for an amount of \$15,000 or more?

Customer Complaint/Arbitration/Civil Litigation Disclosure (Continued)

(3) **Within the past twenty four (24) months, have you been the subject of an investment-related, consumer-initiated, written complaint, not otherwise reported under question 14I(1) or (2) above, which:**

☐ Yes ☐ No

(a) alleged that you were involved in one or more sales practice violations and contained a claim for compensatory damages of \$5,000 or more (if no damage amount is alleged, the complaint must be reported unless the firm has made a good faith determination that the damages from the alleged conduct would be less than \$5,000), or;

☐ Yes ☐ No

(b) alleged that you were involved in forgery, theft, misappropriation or conversion of funds or securities?

Answer questions (4) and (5) below only for arbitration claims or civil litigation filed on or after 5/18/2009.

(4) **have you ever been the subject of an investment-related, consumer-initiated arbitration claim or civil litigation which alleged that you were involved in one or more sales practice violations, and which:**

☐ Yes ☐ No

(a) was settled for an amount of \$15,000 or more, or;

☐ Yes ☐ No

(b) resulted in an arbitration award or civil judgment against any named respondent(s)/defendant(s), regardless of amount?

(5) **Within the past twenty four (24) months, have you been the subject of an investment-related, consumer-initiated arbitration claim or civil litigation not otherwise reported under question 14I(4) above, which:**

☐ Yes ☐ No

(a) alleged that you were involved in one or more sales practice violations and contained a claim for compensatory damages of \$5,000 or more (if no damage amount is alleged, the arbitration claim or civil litigation must be reported unless the firm has made a good faith determination that the damages from the alleged conduct would be less than \$5,000), or;

☐ Yes ☐ No

(b) alleged that you were involved in forgery, theft, misappropriation or conversion of funds or securities?

Termination Disclosure

14J. Have you ever voluntarily resigned, been discharged or permitted to resign after allegations were made that accused you of:

☐ Yes ☐ No

(1) violating investment-related statutes, regulations, rules, or industry standards of conduct?

☐ Yes ☐ No

(2) Fraud or the wrongful taking of property?

☐ Yes ☐ No

(3) Failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct?

Financial Disclosure

14K. Within the past 10 years:

☐ Yes ☐ No

(1) Have you made a compromise with creditors, filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition?

☐ Yes ☐ No

(2) Based upon events that occurred while you exercised control over it, has an organization made a compromise with creditors, filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition?

☐ Yes ☐ No

(3) Based upon events that occurred while you exercised control over it, has a broker or dealer been the subject of an involuntary bankruptcy petition, or had a trustee appointed, or had a direct payment procedure initiated under the Securities Investor Protection Act?

14L. ☐ Yes ☐ No Has a bonding company ever denied, paid out on, or revoked a bond for you?

14M. ☐ Yes ☐ No Do you have any unsatisfied judgments or liens against you?



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Miscellaneous Disclosure Questions NOT on the U4

1. ☐ Yes ☐ No Are you in the middle of a pending investigation, or inquiry, by any regulator (FINRA, State, SEC, etc.) not yet reported on form U4?
If yes, please provide a detailed explanation and a copy of the letter(s) _____

2. ☐ Yes ☐ No Have you received an inquiry letter(s) for any matters that are not explained above?
If yes, please provide a detailed explanation and a copy of the letter(s) _____

3. ☐ Yes ☐ No Have you ever been arrested for any reason that is not currently disclosed on form U4? _____

(E) FAIR CREDIT REPORTING ACT PRE-NOTIFICATION

In making this application for appointment, I understand that HBW Advisory Services LLC may request an investigative consumer report whereby information about me is obtained through personal interviews with third parties, such as financial sources, government agencies, past employers, business associates and friends, regarding my personal characteristics and mode of living, whichever may be applicable. I understand that I have the right to request, within a reasonable period of time, disclosure as to the areas of my background which will be researched by HBW Advisory Services LLC and included in the investigative consumer report. I also understand that I may request a summary of my rights under the 1997 Fair Credit Reporting Act.

I hereby authorize HBW Advisory Services LLC to investigate my background, including the review of credit bureau reports. I further authorize the investigation of all information contained herein concerning my previous employment and disciplinary history and hereby release HBW Advisory Services LLC from any and all liability for any and all damages that may result from obtaining or furnishing the same. I understand that the results of any background or credit check may be shared with individuals within HBW Advisory LLC, including but not limited to my Supervisory Principal. Should I be approved as a Representative of HBW Advisory Services LLC, I further authorize HBW Advisory Services LLC to obtain and review updated CRD and Credit Bureau Reports as may be deemed necessary. I understand that HBW Advisory Services LLC will not contact my current Broker-Dealer or RIA until I so authorize or a completed Form U-4 has been submitted for processing.

Representative Name

Date

Compliance Approval

Date



Remittance Form

2655 1st St. Ste. 250, Simi Valley, CA, 93065
Tel (800) 473-3856 • Fax (800) 636-1302

Rep Name: _____ Date: _____
Address: _____ Suite #: _____
City: _____ State: _____ Zip: _____
Tel: _____ Fax: _____ Email: _____

AUDIT FEE\$ _____

FINRA REGISTRATION FEE

Errors and Omissions Insurance (Non-Refundable \$1100 per year) \$ _____
Affiliation Fee \$300 per year (\$150 after July 1st) \$ _____
Technology Fee \$800 per year (\$350 after July 1st) \$ _____

STATE REGISTRATION - List all states that you need to be registered in.
If you wish to be registered in multiple states, please combine fees below:

State _____
Fee \$ _____ \$ _____ \$ _____ \$ _____ \$ _____ \$ _____ \$ _____ = \$ _____

SECURITIES TESTS - Required only if tests must be taken.

Series 65: Uniform Investment Advisor Exam\$165.00 \$ _____
Series 66: Uniform Combined State Laws Exam*\$155.00 \$ _____

*Series 7 is the prerequisite to Series 66

OTHER FEES

Miscellaneous: Description: _____

Social Media Monitoring

Check required monitoring(s): _____ LinkedIn _____ Facebook _____ Twitter _____
Facebook monitoring cost - \$144 per/year Twitter monitoring cost - \$1200/year _____

TOTAL: \$ _____

All fees are non-refundable

Please note that this fee schedule is not inclusive and is subject to change at any time. **The fees herein are set by and due to the states and FINRA.** All fees are the responsibility of the representative and are payable to HBW Advisory Services LLC. This list is subject to change without notice.

PAYMENT BY CREDIT CARD

AmEx Discover MC Visa Amount: _____
Card Number: _____ Expires: _____
Name as it appears on card _____
Authorized Signature X _____ Date: _____

Your Credit Card's Security Code: _____

If using a Discover, MasterCard or VISA, your security code is located on the back usually on the signature strip. Enter the last three digits. If using American Express, the 4 digit security code is on the front right of your card.

Billing Address: _____
City _____ State _____ Zip _____

**SORRY, WE ARE UNABLE TO ACCEPT
PERSONAL CHECKS AS THESE FEES
MUST BE "COLLECTED FUNDS"**

PLEASE MAKE MONEY ORDER OR
CASHIER'S CHECK PAYABLE TO:
HBW ADVISORY SERVICES LLC

HBWAS_RemittanceForm_10-30-2024