



# Pre-Reg Remittance Form

P.O. Box 2049 Simi Valley, CA 93062  
Phone: (800) 473-3856 | Fax (800) 636-1302

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

**AUDIT FEE** (\$500 per year) \$ \_\_\_\_\_  
**FINRA REGISTRATION FEE** (\$45 per year) \$ \_\_\_\_\_  
Errors and Omissions Insurance (Non-Refundable \$1,100 per year) \$ \_\_\_\_\_  
Affiliation Fee \$300 per year (\$150 after July 1st) \$ \_\_\_\_\_  
Technology Fee \$700 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/year \$ \_\_\_\_\_

Twitter monitoring cost - \$1200/year \$ \_\_\_\_\_

**All fees are non-refundable** TOTAL: \$ \_\_\_\_\_

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