



Request for Exempt State Registration

2655 1st Street Suite 250, Simi Valley, CA 93065

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

Complete and submit this form to request approval for an exemption of registration for the state(s) where you would like to transact business and do not currently have a residence or office presence.

Rep Name _____ Code # _____

Address _____ Suite # _____

City _____ State _____ ZIP _____

I am requesting to transact business as an Investment Advisor Representative ("IAR") under an SEC/State exclusion with HBW Advisory Services LLC for the state(s) listed below:

State(s) _____

Note: Some states, such as Louisiana and Texas, require IAR registration regardless of whether the company maintains a place of business in those states. In such cases, you will need to file a U4 amendment to register in those states. Certain states will also require HBW Advisory Services LLC to register prior to advisors being approved to engage in investment advisory services.

1 _____ initial I do not have an office in the requested states.

2 _____ initial I do not have a residence in the requested states.

By signing below I acknowledge that I am responsible for notifying HBW Advisory Services LLC if any circumstances change in regards to my residence or office presence in the above mentioned states. In other words, I must register with a U-4 registration in the state.

Signature _____ Date of Request _____

HOME OFFICE

☐ Exempt Registration Approved

Signature _____

☐ U-4 Filing Required

Date _____

Title _____