



Nicol Investors Corporation

Member FINRA & SIPC

PERSONAL DATA

Recruiter Name:

SHIRT SIZE:
M__L__XL__XXL__

Date

NAME _____ Date of Birth ____/____/____

Married Single Widowed Divorced

Spouse Name _____ Date of Birth ____/____/____

Child _____ Date of Birth ____/____/____

Child _____ Date of Birth ____/____/____

Child _____ Date of Birth ____/____/____

Child _____ Date of Birth ____/____/____

Pets _____

Goals:

Hobbies:

NICOL INVESTORS CORPORATION

Independent Contractor Pre-registration Application



Name: _____
Last First Middle

Business Address: _____

Home Address: _____

Business Phone: _____ Home Phone: _____

Email Address: _____ Fax #: _____

Website: _____ ID: _____ Password _____

Mobil Phone: _____ Social Security Number: _____ D.O.B _____

Experience

NASD Licenses currently held (year licensed):

___ S6 () ___ S7 () ___ S24 () ___ S26 () ___ S63 () ___ S65 ()

Other: _____

States Registered: _____

Name of prior Broker/Dealer: _____

Address: _____

Phone: _____ Employment Dates: _____

Prior Year's Gross Dealer's Concession (GDC): \$ _____

(Please substantiate; i.e. pay statement or tax return)

Approximate money under management with prior B/D: \$ _____

Typical Securities Mix:

Mutual Funds: _____% VA: _____% VUL: _____%

UIT: _____% General Securities: _____% Other: _____%

Supervisor Name: _____ Phone: _____

May we contact? Y N If no, why? _____

Primary Mutual Fund Families: 1. _____ 2. _____ 3. _____

Primary Variable Companies: 1. _____ 2. _____ 3. _____

RIA: Y N Name: _____ (Please provide copy of Form ADV)

Amount under RIA Management: \$ _____

Insurance Licenses currently held (year licensed):

___ Life () ___ Health () ___ Variable Contract () ___ Fire/Casualty () ___ LTC ()

States Registered: _____

Name of Insurance Agency: _____

Address: _____

Phone: _____ Employment Dates: _____

Supervisor Name: _____ Phone: _____

May we contact? Y N If no, why? _____

Primary Life Companies: 1. _____ 2. _____ 3. _____

Primary Health Companies: 1. _____ 2. _____ 3. _____

OUTSIDE BUSINESS ACTIVITIES

Business: _____ Position: _____

Approx. annual Income: \$ _____ Source: ___ Salary ___ Commissions ___ Other: _____

Supervisor Name: _____ Phone: _____

May we contact? Y N If no, why? _____

Business: _____ Position: _____

Approx. annual Income: \$ _____ Source: ___ Salary ___ Commissions ___ Other: _____

Supervisor Name: _____ Phone: _____

May we contact? Y N If no, why? _____

If there are additional outside business activities, please supply on separate sheet!

REFERENCES

Name: _____ Relationship: _____ Phone: _____

Name: _____ Relationship: _____ Phone: _____

Name: _____ Relationship: _____ Phone: _____

In accordance with the background check required by the FINRA, I authorize Nicol Investors Corporation to check my disciplinary, examination, and registration histories with the FINRA's Web CRD inquiry system. In compliance with the Fair Credit Reporting Act, I am advised that routine investigation may be made concerning my character, general reputation, personal characteristics, employment history, and mode of living. I have the right to request a complete and accurate disclosure of the nature and scope of such investigation. I have received a copy of "Notice before signing Form U-4" pertaining FINRA (NASD) Rule 3080.

Signature: _____ Date: _____

NICOL INVESTORS CORPORATION

PRE-HIRE CRD REVIEW

TO:

FROM: KEVIN G. NICOL

DATE:

PRIOR TO SUBMITTING YOUR FORM U-4 TO CRD FOR EMPLOYMENT AS A REPRESENTATIVE, NICOL INVESTORS CORPORATION WILL REVIEW CRD RECORDS TO DETERMINE THE ACCURACY OF THE U-4 FILING TO BE MADE.

BY SIGNING BELOW, YOU ARE ACKNOWLEDGING YOUR AGREEMENT TO PERMIT Nicol Investors Corporation, ITS OFFICERS AND OTHERS WORKING ON BEHALF OF Nicol Investors Corporation TO REVIEW YOUR CRD RECORDS.

Nicol Investors Corporation, its officers and others working on behalf of Nicol Investors Corporation have my permission to review CRD records in order to obtain pre-hire information.

My Date of Birth is: _____

My CRD Number is: _____

My SSN is _____

Date: _____

Applicant's Signature