

STAFF ENTITLEMENT FORM

1. ASSOCIATE INFORMATION

ON-BOARDING

Employee is: ☐ On-boarding Ticket Number _____ Today's Date _____

Full Name _____ Position Title _____

Branch _____ Representative _____ Team _____

Date of Birth _____ Last 4 Digits of Social Security _____ Pre-authorization Form Completed? ☐ Yes ☐ No

Will the associate be registered? ☐ Registered RIA ☐ Registered B/D

Will the associate offer financial recommendations to clients, recruit new clients, or sell products to existing clients? ☐ Yes ☐ No

Is this employee an intern? ☐ Yes ☐ No

AMENDMENT TO ENTITLEMENT

☐ Amendment to Entitlement Ticket Number _____ Today's Date _____

OFF-BOARDING

Employee is: ☐ Off-boarding Ticket Number _____ Today's Date _____

2. ENTITLEMENT INFORMATION & SIGNATURE

Email Address to be Set Up _____ Any Additional Alias Emails _____

Add to Spire Access Date _____ Add to Branch Directory Date _____

TECHNOLOGY ENTITLEMENT

Please indicate the access required below:

Technology	Y/N		Initials
Workplace	<input type="radio"/> Yes	<input type="radio"/> No	
Email Access	<input type="radio"/> Yes	<input type="radio"/> No	
Mobile Email Access	<input type="radio"/> Yes	<input type="radio"/> No	
Laserfiche Access	<input type="radio"/> Yes	<input type="radio"/> No	
Laser App Anywhere Access	<input type="radio"/> Yes	<input type="radio"/> No	
Global Relay	<input type="radio"/> Yes	<input type="radio"/> No	
Laserfiche Forms	<input type="radio"/> Yes	<input type="radio"/> No	
Quest CE	<input type="radio"/> Yes	<input type="radio"/> No	

Technology	Y/N		Initials
Redtail CRM Access	<input type="radio"/> Yes	<input type="radio"/> No	
Building Key + Door Code	<input type="radio"/> Yes	<input type="radio"/> No	
Business Cards	<input type="radio"/> Yes	<input type="radio"/> No	
Spire Access	<input type="radio"/> Yes	<input type="radio"/> No	
DocuSign	<input type="radio"/> Yes	<input type="radio"/> No	
Fin Pro	<input type="radio"/> Yes	<input type="radio"/> No	
Spire Support	<input type="radio"/> Yes	<input type="radio"/> No	

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2. ENTITLEMENT INFORMATION & SIGNATURE CONT.

CUSTODIAN ACCESS

Please indicate the access required below:

Custodian Access	Access Y/N		Trading Y/N		Cost	Initials
NFS/Streetscape	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Yes	<input type="radio"/> No	\$	
Fidelity WealthCentral	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Yes	<input type="radio"/> No		
Schwab Advisor Center	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Yes	<input type="radio"/> No		
Pershing/DBS	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Yes	<input type="radio"/> No		
Pershing/PAS	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Yes	<input type="radio"/> No		
TD Ameritrade VEO	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Yes	<input type="radio"/> No		
Envestnet	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Yes	<input type="radio"/> No		

Other Notes

Please Note: Some entitlements may require further information

COMPLIANCE CHECKS

Please indicate the access required below:

Compliance	Y/N		Initials
Background Received	<input type="radio"/> Yes	<input type="radio"/> No	
Registered	<input type="radio"/> Yes	<input type="radio"/> No	
Non-Registered	<input type="radio"/> Yes	<input type="radio"/> No	
Fingerprints	<input type="radio"/> Yes	<input type="radio"/> No	
Registration Docs	<input type="radio"/> Yes	<input type="radio"/> No	

MARKETING ENTITLEMENT

Please indicate the access required below:

Marketing	Y/N		Initials
Business Cards	<input type="radio"/> Yes	<input type="radio"/> No	
Website	<input type="radio"/> Yes	<input type="radio"/> No	
Office Sign	<input type="radio"/> Yes	<input type="radio"/> No	
Spire IP Site	<input type="radio"/> Yes	<input type="radio"/> No	

HR/ CORPORATE

Please indicate the access required below:

HR/Corporate Employees	Y/N			Initials
Desk Setup (McLean Office)	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> N/A	
Building Access Keys	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> N/A	

SIGNATURE

NOTE: The new hire will not be provided with any system access unless all required paperwork has been received by the Compliance Department. **Keep in mind that the sharing of passwords is a violation that puts you and your clients at risk!** By signing this document the representative understands that Spire will bill them directly for any associated charges for the on-boarding or continual employment of the associate.

Date

Managing Rep Signature

Reviewed & Approved, Principal