

Please print, preferably in capital letters.

I understand for Spire Investment Partners, LLC. ("Spire") to check my registration status with FINRA and various state jurisdictions, they must have my prior written authorization. This information is most often reviewed through a check of FINRA's CRD/IARD system by entering my CRD# or Social Security Number.

In addition, I authorize Spire to investigate my background, including but not limited to, the information contained in this application, the review of Credit Bureau Reports, CRD records, IARD records, and any other databases/services that provide publicly available information, and I further authorize the investigation of all information contained herein concerning my previous employment and disciplinary history and hereby release Spire, its officers, directors and employees, from all liability for any damages that may result from obtaining or furnishing the same.

I hereby confirm to Spire that there are no outstanding complaints or issues, about which I am aware of, that might not yet appear on WebCRD/IARD.

I understand and agree that the results of any background checks or the information in my Credit Bureau Report may be shared with employees of Spire and its affiliates and with my proposed OSJ/branch manager solely for the purpose of making a decision to proceed with or condition my registration. The information obtained from the Credit Bureau Report will not be used to intentionally violate any federal or state law or regulation.

My signature below authorizes you to obtain and review this information and to contact me with any questions you may have after reviewing the information. This action does not commence my registration process and does not ensure that I will ultimately be licensed by you. I understand that the decision to proceed with licensing will be made only after you review, at a minimum, my CRD/IARD record and Credit Bureau Report.

Name (*First, MI, Last*)

Home Address

Work Phone

Fax

Social Security Number

Birthdate (*mm-dd-yyyy*)

Email Address

Signature of Representative

Date (*mm-dd-yyyy*)

Please fax your completed and signed form back to 703.748.1372 Attn: _____

☐ Recruiting Dept.

☐ Registration & Licensing Dept

OR

Mail to: Spire Investment Partners, 7901 Jones Branch Dr, McLean VA 22102

Spire Wealth Management, LLC is a Federally Registered Investment Advisory Firm.
Securities offered through an affiliated company, Spire Securities, LLC., a Registered Broker/Dealer and member FINRA/SIPC

