

Date: _____

Name: _____

Position: _____

Start Date: _____ End Date: _____

Branch: _____

Representative: _____

Hourly Wage: Yes _____ No _____

**Please provide the following completed
paperwork to the Compliance Department.**

| Form Name | Where do I Find It? |
|--|--|
| U4 or NIF Filing/Licensing | Contact the Compliance Dept. |
| Fingerprint Cards | Contact the Compliance Dept. |
| Confidentiality Agreement | Click here to be linked to the doc. |
| Code of Ethics | Click here to be linked to the doc. |
| Privacy Policy | Click here to be linked to the doc. |
| Code of Ethics & Privacy Policy Cert. | Click here to be linked to the doc. |
| Form W9 (If Paid)* and 1099 Disclosure.* | Link to W9 Link to Disclosure |
| Registration Docs. | Contact the Compliance Dept. |

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 temporary associate.

Date: _____

Please indicate the access required:

| Technology | Y/N | Cost |
|---------------------------|-----|------|
| External IT Seat | | \$ |
| Email Access | | \$ |
| Laserfiche Access | | \$ |
| Laser App Anywhere Access | | \$ |
| Redtail CRM Access | | |
| NFS/Streetscape | | \$ |
| Fidelity WealthCentral | | |
| Schwab Advisor Center | | |
| Pershing/DBS | | |
| Pershing/PAS | | |
| TD Ameritrade VEO | | |
| Envestnet | | |
| Building Key + Door Code | | |
| Business Cards | | \$ |

For a summary of charges please see your Relationship Manager

Other Notes:

Please Note:

* Form W9 and the 1099 Disclosure are required only for paid McLean & Reston temporary associates. All paid temporary employees will be hired as 1099 Independent contractors and paid at an hourly rate. There will be no tax-withholding and benefits will not be available. If over \$600 is paid, a 1099-MISC will be issued at year end and filed with the IRS. Spire Investment Partners cannot offer temporary payroll services for outside offices at this time.

Rep Signature: _____