

Date: _____

Name: _____

Position: _____

Start Date: _____

Branch: _____

Representative: _____

Will the associate be registered?

Registered

Unregistered

**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.
Registration Docs.	Contact the Compliance Dept.
BYOD Policy Acknowledgement	Click here to be linked to the doc.

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: _____

Please indicate the access required:

Technology	Y/N	Cost
External IT Seat		\$
Email Access		\$
Mobile Email Access		\$
Laserfiche Access		\$
Laser App Anywhere Access		\$
Redtail CRM Access		
Building Key + Door Code		
Business Cards		\$

For a summary of charges please see your Relationship Manager

Custodian Access	Access Y / N	Trading Y / N	Cost
NFS/Streetscape			\$
Fidelity			
WealthCentral			
Schwab Advisor Center			
Pershing/DBS			
Pershing/PAS			
TD Ameritrade VEO			
Envestnet			

For a summary of charges please see your Relationship Manager

Other Notes:

_____ is authorized by me to provide instruction to Spire, on my behalf, in order to facilitate any type of service request (other than trading) for the benefit of my clients

Rep Signature: _____