



Encompass IAR Registration Paperwork – Master Checklist for:

Advisor Name: _____

Provide:

- ☐ [Confidential Employment Application](#)
- ☐ [Background Check Authorization](#)
- ☐ [E-Mail Policy Acknowledgement](#)
- ☐ [IAR Attestation](#)
- ☐ [Investment Adviser Representative \(IAR\) Agreement](#)
- ☐ [Investment Adviser Representative \(IAR\) Compliance Acknowledgement](#)
- ☐ [Form U-4 Questionnaire](#)
- ☐ [Outside Business Activity Disclosure](#)
- ☐ [Social Media & Website Disclosure](#)
- ☐ [Direct Deposit Authorization](#)
- ☐ [Form W-9 Taxpayers Identification Certification](#)
- ☐ [Form I-9](#)
- ☐ Duplicate Securities Statement(s)
- ☐ Terms of Employment Contracting

Broker/Dealer Registration Paperwork – Supplemental Checklist

- ☐ [Registered Representative Basic Agreement](#)
- ☐ [Registered Representative Acknowledgement](#)
- ☐ [Prohibited Practices Checklist](#)
- ☐ Form U5 (Prior BD)