



Encompass More, a Division of Verity Asset Management|
Encompass Investments, a Division of Verity Investments, Inc.

CONFIDENTIAL APPLICATION

Full Name: Last First Middle Date of Birth Social Security Number

Resident Street Address (do not use P.O. Box) City State ZipCode

Email Address: Cell Phone:

I. APPLICANT'S LICENSE/REGISTRATION INFORMATION

Please indicate all professional licenses or registrations you hold or have held in the past.

Type of License	State (if applicable)	License Number	Dates Held
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Have you ever been denied a trade or professional license or had a trade or professional license revoked, suspended or restricted? **Yes** ___ / **No** ___ If yes, please attach a written explanation.

II. APPLICANT'S RESIDENTIAL HISTORY

Please list your place of residence for the previous five years. Begin with your address immediately prior to your current address and work backwards.

From:	Address
To:	
From:	Address
To:	
From:	Address
To:	
From:	Address
To:	

III. HIRING INFORMATION

Hiring Manager (if applicable): Manager's Code:

IV. APPLICANT'S EMPLOYMENT HISTORY

Please list your employment history for the previous 10 years without any missing time periods.

Current Employer:	_____	
	Employer Name	Phone Number
Since: _____	_____	
	Address	
From: _____	_____	
	Employer Name	Phone Number
To: _____	_____	
	Address	
	Reason for Leaving	
From: _____	_____	
	Employer Name	Phone Number
To: _____	_____	
	Address	
	Reason for Leaving	
From: _____	_____	
	Employer Name	Phone Number
To: _____	_____	
	Address	
	Reason for Leaving	

Have you EVER worked for a FINRA member firm? **Yes**___ / **No**___ *If yes, please attach a current Form U-5.*

V. APPLICANT'S EDUCATIONAL INFORMATION

Check the highest level completed: ☐ High school graduate / GED ☐ Bachelor's degree
☐ Some college or technical training ☐ Post-graduate or professional degree

College/University Attended: _____ Years: _____

Major / Degree Earned: _____ Year of Graduation: _____

College/University Attended: _____ Years: _____

Major / Degree Earned: _____ Year of Graduation: _____

VI. APPLICANT'S BACKGROUND INFORMATION

If you have a criminal record, full and complete disclosure of the details regarding the criminal record is required. Of course, Encompass may elect for other business reasons not to contract with an applicant who has a criminal record, even if that record does not otherwise disqualify the applicant from marketing any products. Inaccurate or incomplete information in this section and throughout the application is a basis for the termination of each of your agreements with Encompass at any time.

Have you EVER been charged with, convicted of, pled guilty or *nolo contendere* ("no contest") to a felony or misdemeanor (other than a minor traffic violation)? ☐ Yes ☐ No

Are you now, or have you ever been, the subject of ANY regulatory agency inquiry involving allegations against you of fraud, breach of trust, theft, misrepresentation, or dishonesty? ☐ Yes ☐ No

Has a bonding company ever denied, paid out on or revoked bond to you? ☐ Yes ☐ No

Have you ever been discharged or permitted to resign from any contract, position or employment because you were accused of wrongdoing? ☐ Yes ☐ No

List any other names used in the past, including maiden or previous married names:

If you, or any corporation, partnership or business in which you are or were a principal (a) are or have been a party to a bankruptcy action, or (b) has a lien or judgment filed against you that has not been satisfied, attached a written statement providing the following information. For a bankruptcy, indicate (1) the date filed; (2) the type; (3) if discharged; (4) general details. For a judgment, indicate (1) the date filed; (2) the amount; (3) general details

VII. APPLICANT'S REFERENCES

Please list four references, not of family relation, and their connection to you.

Name: _____ Connection: _____ Phone: _____

Mailing Address: _____

Name: _____ Connection: _____ Phone: _____

Mailing Address: _____

Name: _____ Connection: _____ Phone: _____

Mailing Address: _____

Name: _____ Connection: _____ Phone: _____

Mailing Address: _____

VIII. SIGNATURE

Your signature on this application acknowledges that all information provided by you is accurate and complete.

Signature

Date Signed

PLEASE USE THIS SPACE TO PROVIDE ANY WRITTEN EXPLANATIONS OR TO CONTINUE SECTIONS WHERE ADEQUATE SPACE HAS NOT BEEN PROVIDED IN THE APPLICATION.

THANK YOU.