



Hiring Paperwork Flow for: _____ **Verity Code:** _____

Section One: Hiring Paperwork Package – Do Not Submit Unless Complete

- ☐ Paperwork received _____ Date

Section Two: Background Check

- ☐ FINRA Broker Check and/or IARD Public Disclosure Report
☐ CastleBranch Report ordered _____ Date
☐ Former Employer Letters mailed (past 3 years employers) – confirm applicant has resigned from former IA/BD

Section Three: Duplicate Securities Statement Letters

- ☐ Duplicate Securities Statement Letters mailed
☐ Update Outside Brokerage Account spreadsheet

Section Four: U4 Entered into CRD

- ☐ Provide Questionnaire to data entry _____ Date
☐ Draft Copy to applicant for signature _____ Date
☐ Fingerprint Cards to applicant (where required) _____ Date

Section Five: Receipt of Signed U4 from applicant

- ☐ Review completed CastleBranch Report
☐ Submit U4 via CRD _____ Date
☐ Submit Fingerprint Cards _____ Date

Section Six: To Applicant Upon Approvals

- ☐ Confirmation of registration (from CRD)
☐ ADV Part 2B to applicant
☐ Notification of Licensing Fees, Background Check Fees, and Errors & Omissions Insurance Premiums
☐ Provide approved EIA product list and procedures (BD registrations only)
☐ Schedule for Compliance Orientation _____ Date completed

Section Seven: Final Administration

- ☐ Confirm Hiring Package is complete, with all management signatures
☐ Review and address any Branch Office considerations
☐ Set up applicant email address
☐ Update: ☐ Supervisory assignment
☐ Organization chart
☐ Business Continuity Plan call tree
☐ Company phone directory
☐ Advisor Assistant entry

☐ Confirm: _____ Email auto-signature _____ Business card disclosures

Section Eight: Termination

- ☐ File Form U5 _____ Date
☐ Date Mailed to registrant: _____ (within 30 days)
☐ Remove all authorizations (email, login credentials, office keys, etc.)
☐ Terminate duplicate security statements