

PRE-HIRE CONSENT FORM/STATUTORY DISQUALIFICATION QUESTIONNAIRE FOR PROSPECTIVE EMPLOYEES

Pursuant to NASD Conduct Rule 3010, Broker-dealers are required to reasonably investigate the background of potential employees. In accordance with NASD Conduct Rule 3010, Howe Barnes Hoefler & Arnett, Inc. (“HB”) must obtain written permission from any prospective employee prior to investigating that individual’s background and requires all prospective employees to provide the following information:

I authorize HB to investigate and verify any of the information referenced below including but not limited to, my employment, registration history through FINRA’s Central Registration Depository, and background through other service bureaus (including a fingerprint check against FBI criminal history records and a credit check through a major credit bureau). I understand that HB will keep this information strictly confidential, and I release HB from any liability whatsoever in connection therewith. I understand that I am obligated to immediately report to the Compliance Department any event that would cause any of the answers indicated below to become inaccurate in any manner.

- 1. Have you ever been convicted of, pled guilty, or pled nolo contendere to any criminal action, felony or misdemeanor within the United States within the last 10 years?
Yes_____ No_____
- 2. Have you ever been convicted of, pled guilty or pled nolo contendere, within the last 10 years, to any criminal or civil offense in a foreign country that would be considered a felony or misdemeanor if committed within the United States?
Yes_____ No_____
- 3. Are you currently charged with any offense that may result in a guilty plea or plea of nolo contendere or conviction for any criminal action, felony or misdemeanor?
Yes_____ No_____
- 4. Have you ever been permanently or temporarily enjoined by any state or federal court from engaging in any conduct relating to any securities, commodities, insurance or banking matters?
Yes_____ No_____
- 5. Have you ever been the subject of any customer complaint, or an action or proceeding by any regulatory or self-regulatory organization or been found to have violated (or aided, abetted, induced or failed to supervise the violation of) any of the federal securities or commodities laws?
Yes_____ No_____
- 6. Are you at this time the subject of any internal investigation at your current place of employment or currently the subject of any action or proceeding by any regulatory or self-regulatory organization?
Yes_____ No_____

NOTE: Any misrepresentation or omission of information in answering this Questionnaire, including any failure to respond to this Questionnaire, will constitute sufficient cause for not making or withdrawing of any offer of employment or for immediate dismissal from HB if the information is inconsistent with the answers disclosed above.

Signature & Date

Date of Birth (Month/Day only)

Printed Name

S.S.N #

CRD #