



creative¹ne

SECURITIES

CreativeOne Securities, LLC, a wholly owned subsidiary of CreativeOne, is committed to providing solid products, suitability support and marketing resources to representatives who operate their businesses with the highest integrity. All of CreativeOne Securities's core team members are securities-registered with an average of more than 25 years or more of field and/or management experience. Our depth of experience helps us relate to our reps to best meet the needs of their clients.

With CreativeOne Securities,
You Matter.

A Partnership Dedicated to Your Success

Backed Industry Leaders

Not all broker-dealers are committed equally, nor have the capital to maintain a relationship-driven approach given margin compressions and regulations. Despite the industry challenges, we can. It's because CreativeOne Securities is wholly owned by an industry-leading diversified financial services organization and is committed to remaining an independent, midwest-valued broker-dealer.

The Fit

CreativeOne Securities takes pride in the lineup of advisors we've cultivated to join CreativeOne Securities. Not everyone can be affiliated with CreativeOne Securities, nor do we want every advisor. We believe the advisors we choose are client-centric ... just like us.

Make the move. We're here to earn your business, and we'll continue earning it every day after that.



Jeff Eisenhauer
President, CCO
jeisenhauer@c1s.net



Jake Tyndall
New Business Recruiter
and Onboarding Specialist
jtyndall@c1s.net



Jessica Galvan
Registration Specialist
jgalvan@c1s.net

Our service rates *nearly twice* the financial industry.

Through an industry-leading rating system called Net Promoter Score, our advisers and representatives rated us a 79. **That's nearly twice the financial industry's average.** It also means we provide better customer service than Nordstrom, Costco, Apple, and Amazon.* That's just one of the reasons our **hybrid broker-dealer has a 98% retention rate.**

Give us a call at 888.909.9399 today.

Meet our leadership. *People make the difference.*



Jeff Eisenhauer, president and Chief Compliance Officer of CreativeOne Securities, has been working in the financial services industry for more than 25 years. Jeff's experience with trading and operational improvements for broker-dealers and expertise in both the commission and advisory sides of the business, makes him a valuable resource to registered representatives and advisors. He's a big-picture thinker focusing on what makes life easier and doing best by our reps advisors and their clients.



Mike Miller, partner, president, and CEO at CreativeOne was formerly director and president of Accordia Life and Annuity Company. Prior to that, he held a number of senior executive-level positions with the former Aviva USA, including executive vice president of life and annuity sales, executive vice president of operations, and general counsel. He brings a wealth of industry knowledge and experience alongside his approachable management style, openness to feedback, and love of challenges.



Mike Tripses, partner at CreativeOne, is one of the foremost authorities on fixed indexed annuities. Mike and his team have built over 60 indexed annuities. His forward-thinking approach and visionary leadership have grown our robust organization to nearly 140 employees and into multiple locations across the U.S. Mike prides himself on his adaptability and his ability to innovate.



Lance Sparks, partner at CreativeOne, has more than two decades of experience in sales, marketing, and corporate development, with a longstanding record of implementing aggressive growth strategies across many sectors of the financial services industry. He's an entrepreneur at heart and integral in many industry financial services start-ups that span between advisory services and insurance products. His most recent venture is CreativeOne Wealth, a rapidly growing first-to-market turnkey asset management platform that incorporates fixed-indexed annuities into financial plans.



Mark Heitz, partner at CreativeOne, has spent more than 45 years in the financial industry. Mark's vast experience spans jobs from law clerk to president of a multi-billion dollar company, Aviva Annuity, now Athene. As president of Aviva, Mark grew the company's assets from \$100 million to \$40 billion during his 30-year tenure. Today, Mark serves on CreativeOne's board, providing strategic advice on how best to support our advisors.

*Our leadership team has 175
years of industry experience.*

Meet the *Team*



Sandy Monical
Chief Operating Officer

smonical@c1s.net
Regulatory issues, AML Officer, Advertising Reviews, General Compliance, branch audits.



Allison Ryan
Investment Advisory Supervisor

aryan@c1s.net
Investment Advisor questions, third-party money manager agreements and procedures, broker-dealer operations, general compliance, branch audits.



LaNelle Southard
Senior Operations Supervisor

lsouthard@c1s.net
Review of variable annuities, mutual funds, and alternative investments, general compliance, branch audits.



Joel Mutuku
Brokerage Operations Supervisor

jmutuku@c1s.net
Pershing trading and operations, general compliance, branch audits.



Theresa Davidson
Commissions Director

tdavidson@c1s.net
Oversees commissions questions, insurance appointments, registrations both new and renewals, registration status, new OBA reporting, all U-4 updates including liens and disclosures, insurance appointments.



Mark Rubin
Operations Manager

mrubin@c1s.net
Oversees the processing & administration team.



Lance Monk
Auditor/Recruiter

lm Monk@c1s.net
General compliance questions, trade blotter approvals, branch audits.



Tim Phares
Auditor/Options Principal

tphares@c1s.net
Option trading approvals and questions, trade blotter approvals, branch audits.



Linda Patterson
Auditor/Supervisor

lpatterson@c1s.net
General compliance questions, trade blotter approvals, advertising reviews and approvals, branch audits.



Kelly Crisci
Auditor/Supervisor

kcrisci@c1s.net
Trade blotter approvals, Smarch set-up and supervision, branch audits.



Experience Excellence. *And, find everything you need.*

Start working with some of the best people in the broker-dealer industry.



PLATFORMS & OFFERINGS *Broker-dealer*

- Stocks, bonds and options
- Mutual funds and 529 selling agreements
- Variable life and annuity selling agreements
- REITS/BDC/DPP company selling agreements
- Health savings accounts (HSA)
- Secured lending



Advisory Business

- Rep managed wrap accounts open architecture
 - Client centered mutual funds
 - Client focused – stocks, bonds, ETFs and MFs
- CreativeOne Wealth TAMP
- Elite Choice 401(k)
- Financial planning & consulting agreements
- 3rd party money managers selling agreements
- Charles Schwab clearing firm



HYBRID OPTIONS *Series 6, 7, 6 & 65 and 7 & 65/66 Series 65 (only)*

- Independent broker-dealer
- SEC registered RIA
- Pershing clearing firm
- Registered in all 50 states



TECHNOLOGY *Cloud-Based Platform*

- SEC compliant
- Monitored and archived email
- Commission statements
- Microsoft Office Suite
- Pershing NetX360 Trading Platform (Options)
- Docupace – workflow tools
- All compliance files – electronic storage
- Unlimited document storage
- Disaster recovery – back up in four hours



*Optional Technology**

- Laser App Enterprise – anywhere mobility
- GeoWealth CRM & consolidated reporting
- SMARSH® social media compliance
- DocuSign – electronic signature and digital transaction management services

*Additional fees may apply.

What's the next step?

COMPLETE YOUR BACKGROUND CONSENT FORM

Return with 12 months of prior proof of production to licensing@cls.net.

Selling Agreements

Mutual Funds & 529s

Aberdeen Funds
AIM Investments
Alger
Alliance Bernstein including 529 Plans
Allianz & PIMCO Funds
Amana Mutual Funds
American Century
American Century Mutual Funds (only)
American Funds
AlphaCentric Funds
API Funds
AQR Funds
Ariel
Aston
Ave Maria Mutual Funds
Azaad Funds
Berwyn Funds
BlackRock
BlueRock
Brandes Investment Funds
Brandywine Funds
Bridgeway Funds
Bright Directions College
Savings Plan (IL 529)
BTS Tactical Fixed Income Fund
Buffalo Funds
Calamos
Calvert Funds
Camelot Funds
Catalyst Funds
Cognios
CollegeCounts
Colorado BondShares
Columbia Mutual Funds,
Future Scholar 529
Compass EMP Funds
Convergence Funds
Cushing Funds
Davis Funds
Day Hagan Funds
Deutsche
Diamond Hill
Direxion
Dodge & Cox
Doubleline Funds
Dreyfus
Eagle Funds
Eaton Vance
EdVest
Empiric Funds

Equinox Funds Trust
Eventide Funds
Evergreen Funds
Federated
Fidelity Investments including 529 plans
First American Funds
First Pacific Funds (FPA)
FT Preferred Securities & Income Fund
Flex Funds
Foresters Financial
Franklin Templeton
Gabelli Funds
Green Century Funds
Griffin Capital
Grubb & Ellis Funds
Guardian (and RS Investment)
GuideStone Funds
Harbor Funds
Hartford Funds Distributors, LLC (HFD)
Hennessy Funds
Highland Capital Funds
ICON FUNDS
Integrity
Invesco
Iowa 529 Plan
Ivy Funds
JAG Funds
James Alpha
Janus Funds
John Hancock Mutual Funds and 529 Plans
JP Morgan Funds
Keeley Funds
KF Griffith Funds
Lazard Mutual Funds
Legg Mason Funds
London Stock Exchange Group
Lord Abbott
Madison Mosaic
Maingate Funds
Manning & Napier Funds
Marsico Funds
Matthews International Fund
Merger Fund
MFS
Munder
Natixis
NEST Advisor College Savings Plan
Nexpoint Real Estate Strategies Fund
North Lights
Northern Funds

Bright Directions IL 529 Plans
Nuance Funds
Nuveen Investments
NYL/Mainstay
OakMark
Oppenheimer Funds
Pacific Life Mutual Funds
Parnassus Funds
Permanent Portfolio
Pioneer Investments
Principal Funds
ProFunds
Prudential Mutual Funds
Putnam Mutual Funds & 529 Plans
Quasar
RidgeWorth Funds
Rising Dividend Funds
Royce Funds
RS Investments
Rydex Funds
Sammons Retirement Solutions
Scholar's Choice
Scholar's Edge
Schwab Mutual Funds
Shenkman Capital
Signal Point Funds
SMH Funds
SunAmerica Mutual Fund
T.Rowe Price
Thornburg
Timothy Plan
Tomorrow's Scholar 529 Plans
Tortoise Funds (Quasar)
Touchstone Investments
TransAmerica Mutual Funds
UPromise
Van Eck Global
Van Kampen
Vanguard
Victory Munder Funds
Victory RS Mutual Funds
Virtus
VOYA Mutual Funds
VRM Funds
Wasatch
Wells Fargo Advantage Fund
Wildermuth
Wisconsin Tomorrows Scholar 529 Plans



Selling Agreements

REIT/BDC/DPP COMPANIES

Agreements still raising assets:

Bourne Financial Group
CNL
Cole/CIM
Forum Partners

Franklin Square
Griffin Capital
Hines
ICON

Inland
Mackenzie
North Star
Triton Pacific

Active agreements only. Client's total investment in BDCs/REITS/DPPs may not exceed 20% of liquid investment net worth. No more than 10% of liquid investment net worth may be invested in any particular BDC/REIT/DPP sponsor.

VARIABLE LIFE INSURANCE AND ANNUITY COMPANIES

Allianz
Allstate
American General
American National
Ameritas
Annuity Investors-Great American
AUL-OneAmerica
Brighthouse
Commonwealth/Allmerica
CUNA Mutual Group
Delaware Life
Eagle Life
Equitable
Fidelity Destiny Plan

Forethought
Great American (Annuity Investors)
Great West
Horace Mann
Jackson National Life
Jefferson National
John Hancock
Lincoln Financial Group
Mass Mutual
Midland National
Minnesota Life
Nationwide
Nassau
Pacific Life

Principal
Protective Life
Prudential
Reliastar
Sammons Retirement Solutions
Scudder Destinations-Kemper
Securian
Security Benefit
SunAmerica
TransAmerica
VOYA Life & Annuity
Western Reserve Life
Woodbury
Zurich

Some agreements are service only. Ask about details.

THIRD-PARTY MONEY MANAGERS

AssetMark
BTS Asset Management
CreativeOne Wealth
CLS Investments
Envestnet

EQIS
Flexible Plans
Formula Folios
Global Capital
Hanlon Investments

Howard Capital
Lockwood
Lockwood Managed 360
Orion
SEI

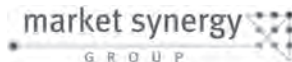
SUMMITONE

Every year, CreativeOne Securities gathers to rekindle relationships, explore new opportunities and collaborate among industry advisors and our industry partners. It's a centralized event for our reps and advisors to learn about the latest offerings, technology and resources that can help them in their quest to guide clients and in turn, help them save and retire responsibly.

During this conference, you will hear from prominent industry speakers proven to motivate and educate you on how to take your business to the next level. SummitOne is your opportunity to network and share ideas with top advisors like yourself.

We believe our advisors are more than a number. The passion they bring to their clients is what moves us every day.

DIAMOND



PLATINUM



GOLD



SILVER



Client-Focused *Rep-Managed Overview*

through **Pershing**
► A BNY MELLON COMPANY™

NO TRANSACTION COST FOR STOCKS, BONDS, MUTUAL FUNDS, AND ETFs

- No confirm fees charged to the client.
- No ticket charges assessed to the rep.
- Must buy stocks from NYSE, NASDAQ, and American Exchange.
- 12b-1 Fees will be credit back to clients' accounts.

ONLINE ACCESS

If a client DOES NOT sign up to receive statements and confirms electronically, the advisor will get 2bps less for each tier level on the previous page.

Cost Basis is provided at no additional cost for ALL accounts

OTHER HOLDINGS

- Penny stocks, variable annuities and reits cannot be held inside these accounts.
- Options, margin, and Pink Sheets are not allowed.

MODELS

An advisor may create their own models. The advisor must **email the models to compliance@c1s.net for PRIOR approval**. Any time an advisor modifies his/her models, then the advisor is required to send them compliance@c1s.net for prior approval.

OPTIONAL FEATURE AVAILABLE

Block Trading is available for advisory accounts only. It cost \$50/month per user. This would be beneficial to advisors with their own models.

More awaits you.



6330 Sprint Parkway, Suite 400, Overland Park, KS 66211
T 888.909.9399 | P 913.814.6097 | www.client1securities.com

CreativeOne Securities, LLC reserves the right to amend pricing based on annual review of such volumes, activity, and average account sizes within Client Focused Rep managed. Member FINRA/SIPC and an Investment Advisor. © 2022 CreativeOne Securities, LLC. All Rights Reserved. C1S-5013 - 2022/8/xx

Fees, Payouts & Charges

Our goal is to ensure representatives are informed of the costs of our various investment products and services.

Onboarding/One-Time Fee	Fees
Background check (each)	Starting at \$75
Fingerprint processing (per office person)	\$50
Reportable events on U-4 (FINRA fee, if reported under 30 days)	\$150

Onboarding and Annual Fees ¹	
State security fees	Fees per State
FINRA registration fee	\$500
FINRA-designated branch fee	\$100
Investment advisor representative (IAR) license	Fees per State
E&O insurance (prorated monthly)	\$2,750
Annual CE and firm element	\$150

Recurring Monthly Fees ²	Fees
Advisor: basic monthly or full technology	\$275
Registered assistant: basic monthly or full-technology required	\$100
Assistant: basic monthly or email-only	\$50
Social media monitoring (per SM account) (Business: Facebook, LinkedIn and Twitter)	\$20/mo
Supervision fee	\$75

Payout Rates

60 to 90%, at graduated payout.
(Flat rate payout subject to negotiation.)

Exams and CE	Fees
Series 6	\$75
Series 7	\$300
Series 63	\$147
Series 65	\$187
Series 66	\$177
Adding staff	\$60
Firm element and annual CE packet (per registered person)	\$120

Transactional Ticket Charges through Pershing's Brokerage ^{1,3}	Fees
Mutual fund buy	\$20
Mutual fund sell	\$17
Corporate bonds	\$45
UITs	\$40
Market orders (plus \$.75 per/100 shares, over 2,000 shares)	\$25+
Limit orders (plus \$ 1.25 per/100 shares)	\$25+
OTC trade executions (most trades)	\$25
Trade corrections (plus ticket charge for transaction)	\$10

Grow With Us

and take your place among industry leaders.

Take the next step today by calling 888.909.9399.

¹ Not all fees and charges are shown. Call us for additional information.

² Monthly fees are subject to change at any time at the discretion of CreativeOne Securities, LLC.

³ All ticket charges are charged to the rep, and charges will be deducted after payout. Information related to this document is updated through September 2022. CreativeOne Securities, LLC reserves the right to change its programs, fees and payments(s) or payment structures at any time.

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Cloud-Based *Technology Platform*

Powered by



GEOWEALTH

GeoWealth's cloud-based system provides advisors with a comprehensive wealth management platform. This end-to-end technology acts as a one-stop solution to view your book of business.

FEATURES



Account Aggregation

Direct custodial connectivity and aggregation options for outside accounts such as 401(k)s, annuities, and 529 plans give advisors the ability to efficiently report on client households regardless of custodian, institution, or money manager.



Reporting

Advisors can monitor performance across households and accounts using on-demand report templates and quarterly performance reports.



Client Portal & Mobile App

White labeled for CreativeOne Securities, clients can view accounts, holdings, and performance through web- and mobile-based portals, equipped with a bi-directional document vault.



Back Office and Support

A dedicated operations team handles daily account reconciliation and new account creation. Relationship management support assists advisors with platform questions and capabilities.



CRM

A fully integrated CRM allows advisors to manage prospects and existing clients throughout the wealth-management life cycle.



Ask your CreativeOne Securities sales team to see how the platform can enhance your practice.

Contact the CreativeOne Wealth team to learn more about the GeoWealth platform.

888.909.9399

www.geowealth.com

GeoWealth | 444 N. Michigan Ave, Ste 820 | Chicago, IL 60611
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GEOWEALTH

Are you Part-Paperless and Part-Through?

Your value is your expertise and your ability to provide custom tailored recommendations to your clients, but what about your process? **Is it easy to do business?** Do you struggle with these “part-paperless” and “part-through processing” challenges?

- ◆ Inefficient Document Management
- ◆ Inadequate Workflows
- ◆ Minimal Audit Trails
- ◆ High Not-In-Good-Order (NIGO) Rates
- ◆ Critical Delays
- ◆ Reliance On Overnight Mail
- ◆ Processing “Black Holes” and Lack of Visibility
- ◆ Manual Indexing
- ◆ Lack of eSign Options
- ◆ No Check 21 Processing
- ◆ Manual OSJ Review

The Power of Straight-Through Processing (STP)

Now you can process all of your business, including communications and transactions, between all parties involved with **the only SEC/FINRA compliant, cloud-based, interconnected network used by more Broker Dealers, RIAs, Investment Providers and Advisors** than any other processing system.

Whether it's a single request to the home office, or a complex transaction involving multiple products across multiple financial firms, you can process it electronically and securely with Docupace ePACS Straight-Through Processing.

Your broker dealer is a member of the Docupace STP Network.

ENTIRELY PAPERLESS. ENTIRELY SECURE. ENTIRELY COMPLIANT.



GETTING APPOINTED *with us*

We don't get a second chance
to make a first impression!

It's about doing it right.

creative**1**ne
SECURITIES

Here are the top broker-dealer onboarding problems for reps and advisors.

Don't fall prey to industry pitfalls when you look for **true independence.**



Compliance & Risk Management

54% OF REPS

had major concerns with the regulatory environment.¹



Advisor Experience

40% RECOGNIZE

fragmented communications and repeated information requests hurt client experience.¹



Death by Paper

31% OF REPS

paper-driven processing limits ability to adopt best practices!¹

Ask us about our offices that nearly eliminated paper.

¹ Pershing: <https://information.pershing.com/rs/651-GHF-471/images/perpremium-tl-why-teams-are-the-client-of-the-future-for-broker-dealers.pdf>

Our Mission

We take the time to get to know you and how your firm operates. In the early stages of vetting and preparing for a brokerage move, focusing on your endgame is imperative. More importantly, focusing on the execution, strategy, and commission statement review that works best for your paycheck are extremely important.

We focus on what keeps the transition fluid—and make this time count. We're not cutting corners.

So, let's do it the way that's right for you and your business, the first time.



Jeff Eisenhauer
Jeff Eisenhauer

President, CCO, CreativeOne Securities, LLC
jeisenhauer@c1s.net

More awaits you.



The day in, day out work is what
brings it to fruition.

Licensing and CreativeOne Securities Onboarding Timeline

Once your firm's evaluation is complete and know what works for you, using a customized timeline to get you on track. We'll use best practices for appointment and onboarding get you onboarded with CreativeOne Securities.

You think you want to change broker-dealers, here's what you'll need, no matter where you go!

YOUR CURRENT REP AGREEMENT

Read your Rep Agreement with your current broker-dealer or RIA. There may be clauses regarding payout after you leave or non-compete stipulations that may affect your decision to move brokerages.

COMMISSIONS, FEE STATEMENTS & 1099

Ensure you have copies of your last few years of commission/fee statements or your 1099 readily available. This helps ensure your new broker has time to gain third-party selling agreements with new partnerships to fluidly move your business.

ACCOUNT STATEMENTS

Have a copy of the latest account statements for your clients' accounts. Also make sure you have a copy of their latest new account form or "know your client" documents. This greatly speeds up forms and client preparation.

CRM

If your CRM is proprietary to your current broker-dealer or RIA, make sure you can save as much information as you can from it. Usually there are Excel export features. Export ALL of your fields and calendar.

CLIENT INFORMATION + CUSTODIAN

There are ways you can access your clients' key information to transfer personal and account information. There are some tips to access this depending on your custodian. Ask the team for some guidance.

Your *Timeline*

PRE-ONBOARDING (PRE-WORK): 21 TO 45 DAYS

The process begins with the background check, then agreements followed by client preparation. We overlap items to help speed the process. Some tasks require others to be completed first. Note: there are always extenuating opportunities when transitioning. Onboarding generally takes three to four weeks.

- Background Check and Questionnaire (3 to 10 days).
- Agreements, OBA Completion and Appointments (1 to 10 days).
- Advertising and Compliance Review (3 to 10 days).
- Forms and Client Transition Prioritization (3 to 5 days).
- Preparing your Technical Platform (2 to 5 days).
- Preparing your U4 (1 to 2 days).

ONBOARDING: 1 TO 10 DAYS

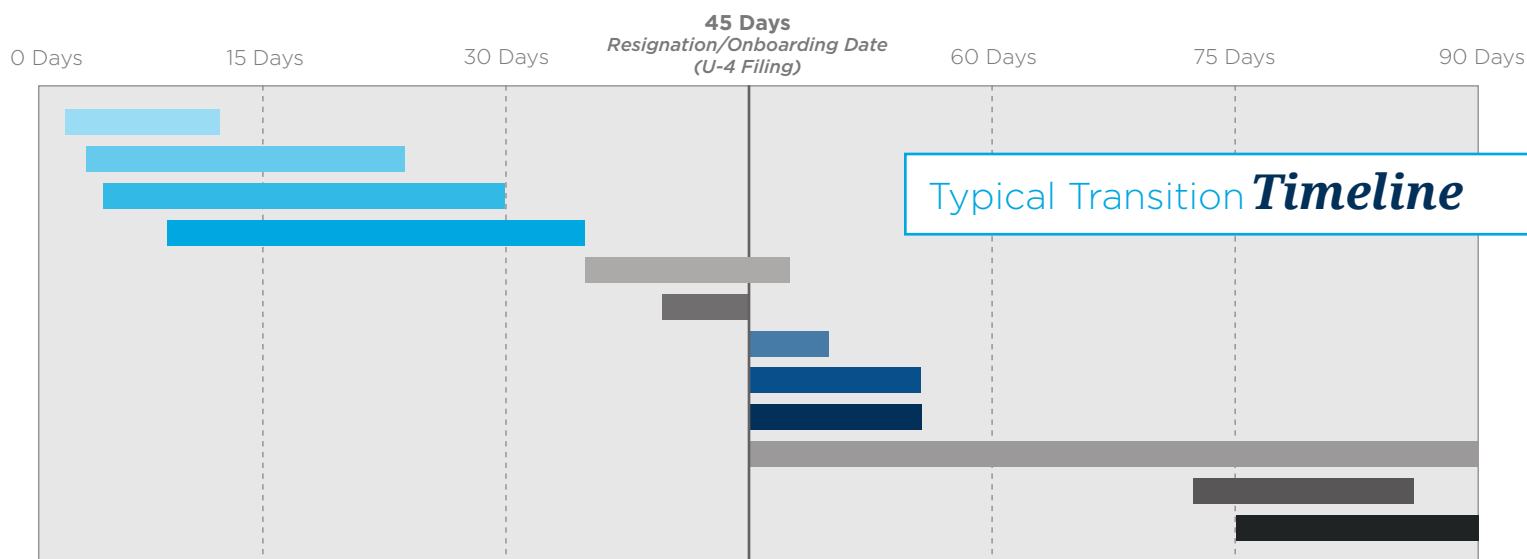
Approval by FINRA and the various State Agencies can take more than one day to complete. Appointments can take up to 10 business days. We will discuss with you any mitigating factors before we file your U4.

- Onboarding/File your U4 (1 to 5 days for approval).
- File your insurance appointments (1 to 10 days for approval).
- Get you and your office up on platform, various applications and trained (1 to 5 days).

ONBOARDING CLIENTS: 30 TO 90 DAYS

Onboarding can vary based on the size of your practice, client proximity and the organization of the transition process. We promise we'll turn home office paperwork around in 24 to 48 hours.

- Meeting with client and filling out paperwork.
- 30-day letter (compliance check in).
- Commission training (upon receipt of first commission check).





Tap into technology ... ***Expedite repapering.***

Step 1

Digital Documents

Onboarding benefits:

- Remove review.
- Secure digital/cloud storage.

Step 2

E-signatures

Onboarding benefits:

- Instantaneous signing.
- Secure authentication.
- Tamper-evident technology.
- Set mandatory fields.
- Legally defensible proof of signing.

Step 3

Straight-through Processing

Onboarding benefits:

- Data can be pre-filled into e-forms.
- Optional e-signature push (pending vendor approval).
- Not in good order (NIGO).

Advisor & Rep Questionnaire

		Phone	Preferred Contact
First Name		Business	<input type="checkbox"/>
Last Name		Home	<input type="checkbox"/>
Firm Name		Mobile	<input type="checkbox"/>

Business		Home	
Email			
Address			
City			
State & Zip			
CRD #		SSN#	DOB
List all of your licenses:			
1. Are there any exams you want to take? How many states are you registered in?			
2. Are you currently registered? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, who is your RIA/BD?			
3. List all of your clearing firm(s). Do you have a non-compete with your RIA/BD? <input type="checkbox"/> Yes <input type="checkbox"/> No			

4. What are your:	This Year	Last Year	5. Business Breakdown
Securities-Based Gross Dealer Commissions (GDC) \$			Advisory %
Assets Under Management (AUM) \$			Brokerage %
# of Client Accounts \$			Direct %

CreativeOne Securities, LLC requires you provide us with proof of production at this time. Attach documentation showing your production for the previous year and current year-to-date. Fax or email these two pages along with any U-4 explanation pages (if required) and your proof of production to 913.273.1453 or licensing@c1s.net.

6. Tell us about your staff. (Full staff name and roles)

7. Check all that apply to your practice:

a. Are you affiliated with CreativeOne? ☐ Yes ☐ No

b. Do you have a Customer Relationship Manager (CRM) platform? ☐ Yes ☐ No If yes, list

c. Do you use Laser App or Quik? ☐ Yes ☐ No d. Do you use eSignature? ☐ Yes ☐ No

e. Are you familiar with ☐ Docupace ☐ Other

f. Do you advertise? ☐ Yes ☐ No g. Do you use social media? ☐ Yes ☐ No If yes, check those used:
☐ Facebook ☐ LinkedIn ☐ Twitter ☐ YouTube ☐ Google+ ☐ Other:
Producers may only use LinkedIn, Twitter and Facebook for business purposes. (These business accounts are monitored by CreativeOne Securities.)

h. What type of marketing do you do?

i. Have you had U-4 issues? ☐ Yes ☐ No If yes, explain

Questions? Call Jake Tyndall at 888.909.9399.



6330 Sprint Parkway, Suite 400, Overland Park, KS 66211 | T 888.909.9399 | P 913.814.6097 | www.creativeonesecurities.com

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Background Check *Consent Form*

YOUR CURRENT BROKER-DEALER WILL NOT BE NOTIFIED OF THIS BACKGROUND INQUIRY

NOTIFICATION

Statements made within these documents are representations on which CreativeOne Securities, LLC, and its officers, directors, employees, affiliates, and related insurance agencies, or any insurance company ("Company"), may rely in considering your request for registration/ appointment as a representative of CreativeOne Securities, LLC. Throughout this document, CreativeOne Securities, LLC discloses to you that an investigative consumer report(s) is being obtained from a consumer reporting agency for the purpose of evaluating you and your financial responsibility for association with CreativeOne Securities, LLC. This consumer report may contain information bearing on your credit worthiness, credit standing, credit capacity, character, general reputation, personal characteristics, and/or mode of the right to request additional disclosures regarding the nature and scope of the investigation. Additional information as to the precise nature and scope of the investigation, if one is made, will be provided to you upon written request. This notification is made in accordance with the Fair Credit Reporting Act, as amended.

RELEASE & AUTHORIZE

I hereby authorize CreativeOne Securities, LLC to verify my previous employment and registration history through the Central Registration Depository ("CRD") of the Financial Industry Regulatory Authority (FINRA), as well as my background, including but not limited to, my credit history, any criminal records, employment history, and general character, through available sources including service bureaus and consumer reporting agencies. I authorize and request that former employers, insurance companies, or any other person, furnish to CreativeOne Securities, LLC and/or its agents, any information in their possession concerning my creditworthiness, character, ability, business activities, educational background, general reputation, together with, in the case of former employers, a history of my employment and the reason(s) for the termination thereof.

I understand and agree that I may be the subject of an investigative consumer report(s) ordered by CreativeOne Securities, LLC and I hereby waive any requirement of prior notification. I understand that I have a right to request in writing, disclosure of any investigation by CreativeOne Securities, LLC, including the nature and scope of any such investigation. I understand and agree that any misrepresentation of the facts contained herein constitute grounds for termination for cause.

I understand and agree that CreativeOne Securities, LLC may furnish any information contained herein or subsequently developed by CreativeOne Securities, LLC and/or its agents, to any affiliate or subsidiary of CreativeOne Securities, LLC and/or the company, and to any federal, state or local governmental or regulatory agency. I hereby release CreativeOne Securities, LLC from any and all liability in connection with this authorization and consent, and agree to provide CreativeOne Securities, LLC with any additional information reportable to FINRA. I agree to indemnify and hold harmless CreativeOne for any claims that result from this background check. Further, I hereby release all such persons from liability by reason of furnishing such information to CreativeOne Securities, LLC and/or its agents. I understand and agree that a photocopy of this authorization is as effective and valid as the original. The releases, authorizations and consents contained in this agreement are continuing and CreativeOne Securities, LLC may rely upon this agreement to request reports and information after your hire date.

☐ YES ☐ NO

Are you aware of any event that would cause you to answer "Yes" to any of the Disclosure Questions asked on Form U-4? If yes, provide an explanation of the incident and the status (pending, denied, settled, etc.) below or on a separate page if more room is required.

SIGNATURE

DATE

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