BROKERS INTERNATIONAL
FINANCIAL SERVICES, LLC
"BUILDING OPPORTUNITY"
Member FINRA/SIPC

102 SE 13th Street, P.O. Box 634
Panora, IA 50216 877-886-1939

Background Disclosure
Registered Representative

Complete the following questions. For each **affirmative answer please explain** in the space available, or **attach your explanation with supporting documents**.

1. Have you been investigated for alleged violations of any securities or insurance laws by any state or federal regulatory body, FINRA, NYSE, or SEC? _____yes _____no

2. Has any customer or someone acting on behalf of a customer ever complained verbally or in writing to your employer, any state regulatory body, FINRA, NYSE or SEC in regards to your relationship with them? _____yes _____no

3. Have you ever been discharged or terminated by any employer for violating any of its policies and procedures? _____yes _____no

4. Do you currently have and intend to continue to maintain a securities brokerage account(s) with any other firm outside of Brokers International Financial Services, LLC? _____yes _____no

5. A private securities transaction is any securities transaction done outside your employing broker-dealer (excluding personal securities transactions executed through a securities brokerage account referenced in Question #4). Are you currently engaged in or intend to engage in any private securities transactions? _____yes _____no

6. Have you made any contribution(s) to a political party or any individual running for political office in excess of $250 in the previous calendar year up through the completion of this form? _____yes _____no

7. Are you affiliated in any capacity (owner, partner, employee, agent, etc.) with a Registered Investment adviser or do you presently engage in or offer investment advisory or financial consulting services outside of Brokers International Financial Services, LLC for which you receive any form of compensation (advisory fees, commissions, consulting fees, finders fees, etc.)? _____yes _____no

8. Are you currently or do you plan to raise money individually or as an agent for any entity (i.e. charity, non-profit organization, religious affinity/group)? _____yes _____no

9. Have you ever been arrested, charged or convicted of any misdemeanor or felony? Note, ALL arrests, charges and convictions must be disclosed. _____yes _____no

10. Have you ever been denied registration with any broker-dealer? _____yes _____no

11. Is there any other information pertinent to your personal situation we should be aware of which may effect your licensing or registration at this time? _____yes _____no

12. Have you ever filed for bankruptcy or had a tax lien? _____yes _____no

BY SIGNING BELOW, I HEREBY ATTEST THAT MY ANSWERS TO THE QUESTIONS ABOVE ARE TRUE AND COMPLETE. I UNDERSTAND THAT FAILURE TO PROVIDE FULL AND ACCURATE DISCLOSURE COULD RESULT IN DISCIPLINARY ACTION INCLUDING TERMINATION OF MY FINRA REGISTRATION WITH BROKERS INTERNATIONAL FINANCIAL SERVICES, LLC.

_____

Printed Name of Applicant

_____ _____

Signature of Applicant **Date**