

NEW REGISTERED REPRESENTATIVE /ADVISOR PRACTICE PROFILE



Registered Representative/Advisor Name (First) _____ (M.I.) _____ (Last) _____

In your own words, please provide us with a brief overview of the type of business you have conducted during the past three years. This information will be used by the KSI/KAI Due Diligence Committee to have a working knowledge of your practice. To ensure a smooth transition, please provide us with product mix, volume of trading activity, and outside (other than securities) business below. Our goal is to help Registered Representatives/Advisors transition their practice to our firm as quickly and efficiently as possible.

MY FINANCIAL SERVICES PRACTICE CONSISTS OF:

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Current Firm _____ Years as an Advisor _____

Multiple-Rep Branch Office, if applicable _____ Number of Reps _____

Number of Registered Assistants _____ Non-Registered Assistants _____

T12 GDC: \$ _____ AUM: \$ _____

YTD GDC: \$ _____ Last Quarter GDC: \$ _____

How did you hear about KSI? _____

Preferred Contact Number _____ Fax _____

Personal E-mail Address _____

BUSINESS MIX

Commissions _____ % RIA Fees _____ % Consulting/Other Fees _____ %

PRODUCT MIX (COMMISSION BUSINESS ONLY)

Equities: _____ % # of Trades Per Year _____

Fixed Income: _____ % # of Trades Per Year _____

Options: _____ % # of Trades Per Year _____

MF Held: _____ % # of Trades Per Year _____

MF Direct: _____ % # of Trades Per Year _____

REITs: _____ % # of Trades Per Year _____

Alternative Investments: _____ % # of Trades Per Year _____

Variable Annuities: _____ % # of Trades Per Year _____

Complex Products: _____ % # of Trades Per Year _____

What percentage of your insurance business is comprised of 1035 exchanges? _____ %

Variable Insurance: _____ % # of Trades Per Year _____

Fixed Insurance: _____ % # of Trades Per Year _____

Private Equity: _____ % # of Trades Per Year _____

EIA: _____ % # of Trades Per Year _____

Do you have an Independent RIA (State or SEC): Yes No

Are you interested in being registered with Kovack Advisors (RIA)? Yes No

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PRODUCT MIX (FEE BASED BUSINESS ONLY)

Third Party Money Managers (Direct) _____ % Where Held? _____
Separate Accounts _____ % Program(s) _____
Advisor Directed _____ %

ADVISOR DIRECTED DETAIL

Equities: _____ % # of Trades Per Year _____
Fixed Income: _____ % # of Trades Per Year _____
Options: _____ % # of Trades Per Year _____
ETFs: _____ % # of Trades Per Year _____
Mutual Funds Load: _____ % # of Trades Per Year _____
REITs: _____ % # of Trades Per Year _____
VA No Load: _____ % # of Trades Per Year _____
VA Load: _____ % # of Trades Per Year _____

ACCOUNTS FOR NON-US CITIZENS

Do you have an Independent RIA (State or SEC): Yes No
Percentage of accounts held by non-US citizens and US citizens living abroad _____

AUM

Fee Based AUM: \$ _____ Money Market Balance: \$ _____
Rep Managed AUM: \$ _____ Credit Balance: \$ _____
Managed by SMAs: \$ _____ Margin Balance: \$ _____
Commissionable Brokerage AUM: \$ _____ Directly Held AUM: \$ _____
Total AUM: \$ _____ Total # of Brokerage Accounts: _____
of Qualified/IRA Brokerage Accounts: _____ # of Non-Qualified Brokerage Accounts: _____
of Directly Held Accounts: _____

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PRODUCTION/PAYOUTS

I expect to produce in the range of \$ _____ and \$ _____ in gross broker-dealer commission (production) with KSI over the next twelve months.

***Attach copies of proof of securities production for the current YTD and previous calendar year (YTD production run, W2 or 1099).**

Please indicate your current Payout Percentage with securities firm(s) _____ %

OUTSIDE BUSINESS ACTIVITIES

Do you have any Outside Business Activities (OBAs)?

An OBA is an activity where a Registered Representative serves as an employee, independent contractor, sole proprietor, officer, director or partner OR is compensated, or has the reasonable expectation of compensation. OBAs can include some charitable, non-profit positions, such as serving as a Director. In addition, your "Doing Business As Name" (DBA) is considered to be an OBA.

Please list your Outside Business Activities:

OBA Name 1: _____

OBA Name 2: _____

OBA Name 3: _____

OBA Name 4: _____