

# 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.

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**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: \_\_\_\_\_