

I. Reason for Submitting This Application

- ☐ I submit this Application due to the fact that I share certain office space with the Applicant and the Applicant may inadvertently have access to my CFSC related customer's non-public information. I maintain all CFSC related customer non-public information in secured and locked physical facilities. The Applicant does not have direct access to CFSC related customer's non-public information.
- ☐ I submit this Application due to the fact that I have outside business activities and the Applicant is involved with my outside business activities. During the normal course of conducting the outside business activities, the Applicant may directly or indirectly have access to my CFSC related customer's non-public information. I maintain all CFSC related customer's non-public information in secured and locked physical facilities.
- ☐ Other: I submit this Application due to the fact that: (please explain)

II. Submitting Associated Person's Information and Acknowledgement

1. CFSC's Associated Person's Name: _____

2. Location Address: _____

3. Branch Code: _____ 4. Supervisor's Name: _____

With my signature below, I acknowledge and certify that:

- The Applicant's fingerprint cards are included with this Application as required;
- I am responsible for the Applicant's compliance with the firm's privacy policies and procedures; and
- I am responsible for notifying the firm's Home Office in a timely manner when I terminate or discontinue my association with the Applicant.

Submitting Associated Person's Signature: _____ **Date:** _____

III. Applicant's Information and Acknowledgement

1. Applicant's Name: _____

2. Applicant's Social Security Number: _____ 3. Date of Birth: _____

With my signature below, I give my consent to Colorado Financial Service Corporation ("CFSC") to verify my information including previous employment, regulatory or criminal history through any system or agency(s) including credit reporting agencies or system CFSC may choose in its sole discretion.

Furthermore, I understand and acknowledge that submitting this Application will neither establish any employer-employee relationship with CFSC or any of its affiliated entities nor constitute any association status with CFSC or any of its affiliated entities.

I acknowledge and agree: (i) not to disclose any CFSC related customer's non-public information that I may directly or indirectly possess or have possessed; and (ii) to destroy such information when I am not entitled to have it in my possession including any that I may inadvertently obtain or have obtained.

Applicant's Signature: _____ **Date:** _____