

# Firm Name

REP NAME

## New Registered Representative Compliance Checklist

	Responsible Party	Completed (Y or N/A)	Date Completed	Notes
<b>Pre-Hire Requirements</b>				
Obtain a Resume or CV from Candidate				
Conduct an Internet Search and Due Diligence on RR				
Create New Employee File				
Send Offer Letter/ Execute an Employment Agreement				
<b>Registration Process</b>				
Obtain a CRD Pre-Hire Authorization Form From RR				
Conduct a CRD Pre-Hire Review				
Conduct a FINRA Rule 3110(e) Background Check on RR				
Obtain a Copy of RR's Form U5 Filing from Prior BD (if applicable)				
File a Form U4				
Register RR in all Applicable States				
File a Form BR if Necessary				
Provide RR with an Executed/Signed Copy of His/Her Form U4				
Verify that the RR Completes Fingerprinting				
Verify the RR's FINRA Continuing Education is Current				
Assign RR to a Supervisor and Update WSP				
Send RR a Copy of the Firm's Written Supervisory Procedures				
Assign RR Firm Element Continuing Ed & AML Training Courses				
Obtain a Completed New RR Attestation/Compliance Package				

### Outside Business Activities ("OBA")

*If the RR has OBAs, the following must be completed:*

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Obtain a Request for Approval in Writing From the RR for all OBAs				
Conduct Due Diligence on all OBAs				
Complete a Rule 3270 Analysis for Each OBA				
Approve or Deny OBA in Writing				
Add Supplemental WSPs to Supervise each OBA				
Ensure that all Approved OBAs Are Disclosed on Form U4				
If Applicable, Follow the Firms WSP for Private Securities Trancations				
Add the Approved OBA to a Master List of all RRs OBAs for the Firm				

### Outside Brokerage Accounts

*Applies to all RRs, the RR's spouse and any other POA or Guardian outside brokerage accounts under FINRA Rule 3210:*

Approve or Deny Accounts in Writing				
Add Accounts to a Master List of Outside Brokerage Accounts				
Send Out 407 Letters to Obtain Copies of Statements and/or Confirms				
Provide RR with the Firm's Restricted List (if applicable)				

### Outside Email Accounts

*Complete if RR uses an outside email account.*

Approve All Outside Email Accounts in Writing				
Add Email Account to a Master List of RR Outside Email Accounts				
Ensure That Outside Email Accounts are Captured in Email Archiving System				

### Social Media Accounts

*Complete if RR uses Social Media to solicit or to promote his/her business.*

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Approve All Social Media Accounts in Writing				
Add Social Media Account to a Master List of Outside Email Accounts				
Update the WSP for the Supervision of the Use of Social Media (Approval of Marketing Materials, Press Releases, Reports, Re-Posting Articles, etc.				
Ensure That Social Media Correspondence is Captured in Email Archiving System				

\_\_\_\_\_  
Principal Signature

\_\_\_\_\_  
Principal Name

\_\_\_\_\_  
Date