



Investment Advisor Representative (IAR) Application

TradePMR Use Only

IAR # _____

Sub of Advisor # _____

Notices

This *Individual Investment Advisor Representative Application & Agreement* provides Trade-PMR with fundamental information regarding the advisory firm and the advisory firm representative, hereinafter referred to as the "IAR", and establishes the criteria for engagement between the **IAR, RIA** and **Trade-PMR**. By completing this application, the RIA accepts full responsibility for all actions of the IAR listed in this application and subsequently all liability. Please complete all questions, and return to Trade-PMR with all requested documentation.

IAR Company information

| | | |
|---|--------------|---------------|
| Name of Registered Investment Advisory Firm | | Tax ID Number |
| Name of business under which Registered Investment Advisory Firm is doing business if different from name of Registered Firm | | |
| Firm Registration: <input type="checkbox"/> Corporation <input type="checkbox"/> Sole Proprietor <input type="checkbox"/> Limited Liability Company <input type="checkbox"/> Partnership <input type="checkbox"/> Other: _____ | | |
| Primary Contact Name and Title | | |
| Principal place of Business (no PO Boxes) | | |
| City | State | Zip Code |
| Mailing Address (if different from principal place of business) | | |
| City | State | Zip Code |
| Business Phone | Business Fax | Cell Phone |
| Primary Email Address (Required) | | Web Site |

IAR Principal/Officer/Authorized Person Information (If different from above)

| | | | |
|---|---------------|------------------------|----------------|
| Name | | Individual CRD Number | |
| Title | Date of Birth | Social Security Number | |
| Home Address | | City | State Zip |
| Email | Phone | Fax | Cell |
| Citizenship <input type="checkbox"/> US <input type="checkbox"/> Other (List): _____ If other, list your US Permanente Registration Number and type: _____ | | | |

Parent RIA Information

| | | |
|---|-------------------------------|--------------------|
| Name of Registered Investment Advisory Firm | | TradePMR Advisor # |
| Address | | |
| City | State | Zip Code |
| Contact Person | Contact Persons Email Address | |
| Business Phone | Business Fax | Cell Phone |

Registration Information

Is the firm registered with Securities Regulators as an Investment Adviser?
 Yes
 No
 If yes, indicate what Regulators you are registered with:

| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|---|--------------------------|----|--------------------------|----|--------------------------|----|--------------------------|----|--------------------------|----|--------------------------|----|--------------------------|----|--------------------------|----|--------------------------|----|--------------------------|----|--------------------------|----|--------------------------|--------------------------------------|--------------------------|----|--------------------------|------------------------|--------------------------|----|--------------------------|----|--------------------------|----|--------------------------|----|--------------------------|----|--------------------------|----|--------------------------|----|--------------------------|----|--------------------------|----|--------------------------|----|--------------------------|----|--------------------------|
| Securities and Exchange Commission <input type="checkbox"/> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| AL | <input type="checkbox"/> | AK | <input type="checkbox"/> | AR | <input type="checkbox"/> | AZ | <input type="checkbox"/> | CA | <input type="checkbox"/> | CO | <input type="checkbox"/> | CT | <input type="checkbox"/> | DC | <input type="checkbox"/> | DE | <input type="checkbox"/> | FL | <input type="checkbox"/> | GA | <input type="checkbox"/> | HI | <input type="checkbox"/> | IA | <input type="checkbox"/> | | | | | | | | | | | | | | | | | | | | | | | | | | |
| ID | <input type="checkbox"/> | IL | <input type="checkbox"/> | IN | <input type="checkbox"/> | KS | <input type="checkbox"/> | KY | <input type="checkbox"/> | LA | <input type="checkbox"/> | MA | <input type="checkbox"/> | MD | <input type="checkbox"/> | ME | <input type="checkbox"/> | MI | <input type="checkbox"/> | MN | <input type="checkbox"/> | MO | <input type="checkbox"/> | MS | <input type="checkbox"/> | MT | <input type="checkbox"/> | NC | <input type="checkbox"/> | ND | <input type="checkbox"/> | NE | <input type="checkbox"/> | NH | <input type="checkbox"/> | NJ | <input type="checkbox"/> | NM | <input type="checkbox"/> | NV | <input type="checkbox"/> | NY | <input type="checkbox"/> | OH | <input type="checkbox"/> | OK | <input type="checkbox"/> | OR | <input type="checkbox"/> | PA | <input type="checkbox"/> |
| RI | <input type="checkbox"/> | SC | <input type="checkbox"/> | SD | <input type="checkbox"/> | TN | <input type="checkbox"/> | TX | <input type="checkbox"/> | UT | <input type="checkbox"/> | VA | <input type="checkbox"/> | VT | <input type="checkbox"/> | WA | <input type="checkbox"/> | WI | <input type="checkbox"/> | WV | <input type="checkbox"/> | WY | <input type="checkbox"/> | Puerto Rico <input type="checkbox"/> | | | | Other (Specify): _____ | | | | | | | | | | | | | | | | | | | | | | | |

Investment Advisor Agreement

This Investment Advisor Agreement (Agreement) is entered into between Trade-PMR, Inc. (TradePMR, we, our, us) and the above signed Investment Advisor (Advisor, I, me, my and us). The Advisor hereby understands and agrees to the following:

1. **Advisor Information and Agreement.** You represent that the information provided on the above application and in the accompanying documents (Form ADV, Registration Certificates, Etc) are accurate, truthful and complete. You agree to provide us with an updated copy of these documents promptly upon our request, or upon any material changes to your information.
2. **Legal Capacity to Enter Into Agreement.** I am at least the age of 18 years and am of full legal age in the state in which I reside, and am authorized to enter into this Agreement on behalf of the Advisor. If I am an employee, member or partner of any security exchange or member firm thereof, of any corporation a majority of the stock of which is owned by any exchange or a broker/dealer I have so indicated on the above Advisor Application and Agreement. I also agree to notify you promptly if I should later become employed in any of the capacities cited above.
3. **Clearing Broker.** I understand that I have entered into an Agreement with Trade-PMR, who has entered into an agreement with SAL Financial Services, Inc. to execute and clear securities transactions in those Securities Account I manage. I further understand and agree that SAL Financial Services, Inc. will carry and maintain such Securities Accounts, except as may otherwise be provided in this Agreement.
4. **Certification of Eligibility.** I certify that the Advisor is registered and in good standing with the United States Securities and Exchange Commission as an investment advisor under the Investment Advisers Act of 1940, and/or registered as an investment advisor in all states where such registration is required (as an RIA). I agree that if the Advisor's registration status as an RIA is suspended or revoked or has lapsed for any reason or if the Advisor becomes subject to any disciplinary action by a federal or state regulatory authority, I will immediately notify Trade-PMR and cease any purchase transaction of securities in any underlying account that I or the Advisor has authority to manage.
5. **Relationship between Advisor and Trade-PMR.** The Advisor acknowledges that Trade-PMR does not give investment, legal or tax advice, and will not advise me concerning the nature, potential value, or suitability for me on any particular security transaction or investment strategy. TradePMR only provides discount brokerage services to my clients set for in the Client Account Agreement. TradePMR does not carry any registrations or licenses for investment advisers. You agree that you will not represent or imply in any way that TradePMR a) is affiliated or has any relationship other than that described in this agreement, b) provides advice to you or your clients, or c) provides any reviews of your trading decisions. TradePMR has no duty to supervise or monitor your management of Clients accounts, or verify your compliance with applicable laws.
6. **Relationship between Advisor and Client.** Advisor will place no trading orders that exceed Advisor's authority under the executed under the Investment Advisory Agreement between the Advisor and client, and will not deviate from the agreed upon Advisory Fee and fee schedule listed in Form ADV. TradePMR is not responsible for monitoring or enforcing any agreements between the Advisor and client.
7. **Compliance with Regulations and Laws.** Advisor is solely responsible for complying with all laws and regulations governing its provision of advisory services to Client. You are solely responsible, among other things for: 1) determining whether you and your employees are required to be registered or licensed with the appropriate regulatory authorities, and complying with any registration requirements; 2) satisfying fiduciary obligations to your advisory clients; 3) proper disclosure of material facts regarding the advisory services you provide; 4) proper record keeping and reporting regarding your advisory business; 5) compliance with the custody rules governing advisers; 6) compliance with anti-money laundering rules governing advisers. You represent that you are now, and will remain, in material compliance with all applicable laws and regulations in connection with the activities covered by this Agreement.
8. **Recording Conversations.** I understand and agree that, for our mutual protection, Trade-PMR may record any of our telephone conversations without further notice.
9. **Notice of Changed Name, Address, Bank, Employment.** I agree to promptly notify Trade-PMR in writing of any change to the Advisor's name, address, or other contact information.
10. **Customer Identification.** The Advisor shall verify and furnish to TradePMR correct tax identification numbers, addresses, signatures, and any other such information as is required by law on any Client applications, or as otherwise may be required by TradePMR for the servicing of accounts. If after reasonable requests to the Advisor, the documents necessary to enable TradePMR to duly perform any of its obligations and/or comply with any laws, rules and regulations have not been received by TradePMR, TradePMR shall have the right at any time to notify Advisor that no further orders shall be accepted for the accounts involved and/or to place "no more business" and/or other restrictions on any such account. The Advisor shall be responsible for any claim, cost, expense, judgment, damage, assessment, penalty or fine claimed or assessed directly or indirectly as a result of its failure to do so, and in accordance with Paragraph 18 below, Advisor shall fully indemnify and hold harmless TradePMR in respect of such matters.
11. **Security Interest.** TradePMR has the sole discretion at any time and from time to time, with or without notice to Advisor and/or any Advisor Account, to execute buy-ins or sell-outs in any cash and/or margin account whenever it determines such action appropriate and regardless of whether the account complies with applicable margin maintenance requirements or has requested any extension of time in which to make payment.
12. **Indebtedness to TradePMR.** I understand and agree that should any Client account of said advisors comes into a negative balance either in the event that any check or draft or other form of payment given is dishonored or is returned unpaid, or negative cash balances occur in account due to fees, or any other debit situation that TradePMR determines appropriate, Advisor shall be solely and exclusively responsible and liable to TradePMR for any loss and the interest thereon. TradePMR, Inc. has the right to withdraw debit balances from Advisors Sundry Account, bill Advisor directly, or garnish Advisory Fees. Should the funds not be available, TradePMR, Inc. will use any legal means necessary to collect such debt.
13. **Advertisements & Documents.** Advisor shall not, without prior written approval of a senior officer of TradePMR, use any trademarks, service marks, logos, names or any other proprietary designations of TradePMR in any advertising or promotional material (written, electronic or otherwise). Advisor shall submit to TradePMR for prior approval, any advertising or promotional material using any identifying designation of TradePMR or any of its Affiliates.

14. ARBITRATION DISCLOSURES

- **ARBITRATION IS FINAL AND BINDING ON THE PARTIES.**
- **THE PARTIES ARE WAIVING THEIR RIGHT TO SEEK REMEDIES IN COURT, INCLUDING THE RIGHT TO JURY TRIAL.**
- **PRE-ARBITRATION DISCOVERY IS GENERALLY MORE LIMITED THAN AND DIFFERENT FROM COURT PROCEEDINGS.**
- **THE ARBITRATORS AWARD IS NOT REQUIRED TO INCLUDE FACTUAL FINDINGS OR LEGAL REASONING AND ANY PARTY'S RIGHT TO APPEAL OR TO SEEK MODIFICATION OR RULING BY THE ARBITRATORS IS STRICTLY LIMITED.**
- **THE PANEL OF ARBITRATORS WILL TYPICALLY INCLUDE A MINORITY OF ARBITRATORS WHO WERE OR ARE AFFILIATED WITH THE SECURITIES INDUSTRY.**
- **NO PERSON SHALL BRING A PUTATIVE OR CERTIFIED CLASS ACTION TO ARBITRATION, NOR SEEK TO ENFORCE ANY PRE-DISPUTE ARBITRATION AGREEMENT, AGAINST ANY PERSON WHO HAS INITIATED IN COURT A PUTATIVE CLASS ACTION; OR WHO IS A MEMBER OF A PUTATIVE CLASS WHO HAS NOT OPTED OUT OF THE CLASS WITH RESPECT TO ANY CLAIMS ENCOMPASSED BY THE PUTATIVE CLASS ACTION UNTIL; (I) THE CLASS CERTIFICATION IS DENIED; OR (II) THE CLASS IS DECERTIFIED; OR (III) THE CUSTOMER IS EXCLUDED FROM THE CLASS BY THE COURT. SUCH FORBEARANCE TO ENFORCE AN AGREEMENT TO ARBITRATE SHALL NOT CONSTITUTE A WAIVER OF ANY RIGHTS UNDER THIS AGREEMENT EXCEPT TO THE EXTENT STATED HEREIN.**

ARBITRATION: I EXPRESSLY ACKNOWLEDGE AND AGREE THAT ALL CLAIMS, DISPUTES AND OTHER MATTERS ARISING OUT OF OR RELATING TO THIS AGREEMENT SHALL BE SUBMITTED TO THE ARBITRATION BOARD OF THE FINANCIAL INDUSTRY REGULATORY AUTHORITY (FINRA). UNLESS OTHERWISE PROVIDED BY LAW. THIS EXPRESS AGREEMENT TO SUBMIT TO BE BOUND BY ARBITRATION INCLUDES, BUT IS NOT LIMITED TO, DISPUTES ARISING UNDER THE SECURITIES ACT OF 1933, THE EXCHANGE ACT OF 1934, CLAIMS ARISING UNDER THE RACKETEER INFLUENCED AND CORRUPT ORGANIZATIONS ACT (RICO), STATE OR COMMON LAW FRAUD AND SECURITIES STATUTES, AS WELL AS OTHER FEDERAL SECURITIES LAWS CLAIMS WHICH MAY ARISE TO THE EXTENT PROVIDED BY LAW. THIS PROVISION TO ARBITRATE SHALL BE SPECIFICALLY ENFORCEABLE UNDER THE PREVAILING ARBITRATION LAW AND PROCEDURES. THE AWARD RENDERED BY THE ARBITRATORS SHALL BE FINAL, AND JUDGMENT MAY BE ENTERED UPON IT IN ANY COURT HAVING JURISDICTION THEREOF. COUNSEL CAN ADVISE ME ON HOW THIS PROVISION MAY AFFECT ME.

15. **Effectiveness.** I understand that this Agreement is not effective until approved by The Supervisory RIA, Trade-PMR, Inc. and SAL Financial Services, Inc., each in its sole discretion.
16. **Termination.** TradePMR may terminate this agreement and any provisions of brokerage services it entails with respect to any particular client, or group of clients, or Advisor, at any time without prior notice to Advisor. Advisor may terminate this Agreement upon written notice to TradePMR. Upon termination of this agreement, or termination by Client of its Investment Advisory Agreement with the Advisor, Client will assume exclusive control and sole responsibility over their accounts, including the right to place orders.
17. **Assignment.** TradePMR may assign its rights and obligations under this agreement to any affiliate, or successor by merger or consolidation without notice to Advisor. Advisor may not assign this Agreement without TradePMR's prior written consent.
18. **Indemnification.** You indemnify and agree to hold TradePMR and its affiliates, assigns, directors, officers, and employees harmless against any and all penalties, damages, costs, judgments, attorney's fees or any other expenses incurred in connection with any breach by Advisor of any provision of this Agreement, any and all claims of any kind against TradePMR by Client, prospective client, former clients, civil or regulatory authorities or any other third parties relating to your provision of investment advisory services (including specific conduct, advice, fee arrangements, trades, or recommendations of Advisor) or Advisor's activities under this Agreement. These indemnification provisions shall remain operative and in full force after termination of this Agreement.
19. **Governing Laws.** This Agreement shall be governed by the laws of the State of Florida.

TRADE-PMR, INC
Member FINRA/SIPC
PO Box 358230, Gainesville, Florida 32635
1015 NW 56th Terrace, Gainesville Florida 32605
1-888-723-3767

