MoneyBlock™

Representative / Advisor Profile

Please complete the form below to participate in MoneyBlock's Client Referral Program.

Rep/Advisor Name: ____

I conduct business under the following name: ______________________________

I do business in the following states: ___________________________________

I conduct my business as (choose one): ☐ Broker ☐ Advisor ☐ Broker/Advisor (hybrid)

My compensation structure is (choose one): ☐ Commission ☐ Fee-only ☐ Fee or commission

Discretionary or non-discretionary? ☐ Discretionary ☐ Non-discretionary ☐ Both

What types of products do you provide to your clients? (Please check all that apply):

- ☐ Exchange-listed securities
- ☐ Securities traded over-the-counter
- ☐ Warrants
- ☐ Corporate Debt securities (other than commercial paper)
- ☐ Commercial paper
- ☐ Certificates of deposit
- ☐ Municipal securities
- ☐ Variable life Insurance
- ☐ Variable annuities
- ☐ Mutual fund shares
- ☐ United States Governmental securities
- ☐ Options contracts on securities
- ☐ Options contracts on commodities
- ☐ Futures contracts on tangibles
- ☐ Futures contracts on intangibles

If you use options, specify how you typically use them for clients:

Income (specific option strategies used: ______________________________)

Hedge (specific option strategies used: ______________________________)

Speculation (specific option strategies used: ____________________________)

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I work with the following types of clients (check all that apply):

- ☐ Individual investors
- ☐ Self-directed individual investors
- ☐ Corporations or businesses
- ☐ Other advisors
- ☐ Profit-sharing programs

Travel - To meet with a client, I will travel up to:

______ miles from my office.

My minimum account size is (check one):

- ☐ None
- ☐ <$50,000
- ☐ $100,000
- ☐ $250,000
- ☐ $500,000
- ☐ $1,000,000 or more

I use the following methods of market and investment analysis (check all that apply):

- ☐ Fundamental analysis
- ☐ Technical analysis
- ☐ Cyclical/seasonal
- ☐ Event/news
- ☐ Volatility analysis
- ☐ Volume flows
- ☐ Back-testing
- ☐ Risk management

I provide the following services to my clients (check all that apply):

- ☐ Full-service brokerage
- ☐ Self-directed brokerage
- ☐ Portfolio management
- ☐ Financial consulting
- ☐ Tax Preparation/planning
- ☐ Retirement planning
- ☐ Risk management
- ☐ Insurance
- ☐ Estate planning
- ☐ Education planning
- ☐ Other: ______________________________

Thank you for participating!

When complete, email the form to repsupport@moneyblock.com.

If you have any questions regarding this program, contact Tom Heffernan at 312-253-0428 or theffernan@moneyblock.com.