



## EMPLOYMENT INFORMATION

1. Employer	From Mo/Yr	To Mo/Yr	
Street Address	City	State	Zip
Job Title & Duties at Start	Job Title & Duties at Leaving		
Supervisor's Name, Title, Telephone #	Earnings at Start	Earnings at Leaving	
Aspects of Job Liked Best	Aspects of Job Liked Least		
Reason for Leaving			May We Contact?
2. Employer	From Mo/Yr	To Mo/Yr	
Street Address	City	State	Zip
Job Title & Duties at Start	Job Title & Duties at Leaving		
Supervisor's Name, Title, Telephone #	Earnings at Start	Earnings at Leaving	
Aspects of Job Liked Best	Aspects of Job Liked Least		
Reason for Leaving			May We Contact?
3. Employer	From Mo/Yr	To Mo/Yr	
Street Address	City	State	Zip
Job Title & Duties at Start	Job Title & Duties at Leaving		
Supervisor's Name, Title, Telephone #	Earnings at Start	Earnings at Leaving	
Aspects of Job Liked Best	Aspects of Job Liked Least		
Reason for Leaving			May We Contact?

## EDUCATIONAL BACKGROUND

High School	City	State	Highest Grade Completed	
Colleges/Universities/Technical Schools	City	State	Major	Degree Received Y/N Type? _____
Other (including Graduate and Military Service Schools)	City	State	Major	Degree Received Y/N Type? _____

Scholastic Standing (ranking or grade point average)	High School	Colleges/University/Technical Schools	Other
Subjects Likes Best			
Subjects Liked Least			
Subjects Best Grades Received			
Activities/Offices Held			



## DISCLOSURES

Most of the individual companies comprising Davidson Companies are regulated by the Securities and Exchange Commission (SEC), the Financial Industry Regulatory Authority (FINRA) or other regulatory agencies. Because of certain regulations governing the Company and because of the type of business we conduct, we must ask applicants the following questions. **Failure to answer truthfully may impact your potential employment with Davidson Companies.**

### CRIMINAL DISCLOSURES

1. Have you ever been **charged with, convicted of, or plead guilty or *nolo contendere*** (“no contest”) in a domestic, foreign, or military court to **any felony**?  Yes  No

2. Have you ever been **charged with, convicted of, or pled guilty or *nolo contendere*** (“no contest”) in a domestic, foreign, or military court to a **misdemeanor involving investments or an investment-related business or any fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses**?  Yes  No

**Important:** If you are employed by the Company, securities industry regulations require that you be fingerprinted. Any criminal history, including arrests and charges that did not result in a conviction, and including arrests, charges, or convictions that have been expunged, will be disclosed to a very limited number of people in the Company. In addition, FINRA may require you to submit documentation regarding the incident. If you have concerns about this and wish to speak to someone, please ask to be directed to an Officer in our Compliance Department.

### REGULATORY DISCLOSURES

1. Are you presently licensed in the insurance or securities industry?  Yes  No

2. Have you ever been licensed in the insurance or securities industry?  Yes  No

3. If your answer to No. 1 or 2 was yes, have you ever been disciplined by a regulatory authority, or had a license suspended or revoked?  Yes  No

4. If you are hired by the Company, do you acknowledge that you will be required, in accordance with firm policy and as a condition of employment, to move your securities accounts (limited exceptions for certain account types) to D.A. Davidson within 60 days of your hire? A copy of the policy is available upon request.  Yes  No

### FINANCIAL DISCLOSURES

1. Has a bonding company ever denied, paid out on, or revoked a bond for you?  Yes  No

2. Do you have any unsatisfied judgments or liens against you?  Yes  No

## ACKNOWLEDGMENT

**PLEASE READ CAREFULLY**— I certify that all information provided by me is true and correct to the best of my knowledge. I understand that omissions or misrepresentations made by me may cause this application to be rejected, or if I am employed, may result in my termination. I understand that the information in this application will be verified, for which purpose I authorize and request any and all of my former employers and any other person to furnish any information they may have concerning my character, ability, business activities, and reputation, together with, in the case of former employers, a history of my employment by them and reasons for ending employment. This authorization applies to the current and prior employers, schools, and references listed above. I hereby release each employer and other person from any and all liability of whatever nature by reason of furnishing such information.

I agree that this employment application is not a contract for employment or an offer of employment. I understand that if employed, I will be subject to a probationary period, during which my employment may be terminated for any or no reason. I also acknowledge that if employed, I will be an employee “at will”, with no guaranteed term of employment, and in states that do not provide for employment “at will”, such as Montana, I have no guaranteed term of employment.

By submission of this employment application, I permit the Company to review all records regarding me filed with the Central Registration Depository. I agree that if I am offered employment by the Company, my employment is subject to approval by FINRA and any other regulatory authority whose approval of my employment the Company or the regulatory authority deems necessary. I understand that if I am offered employment, I will be required as a condition of employment to authorize the Company to obtain consumer reports and investigative consumer reports on me from a consumer reporting agency and to submit to a drug test. I acknowledge that information obtained by the Company pursuant to this authorization or from information provided in this application may result in the Company not employing me, or if already employed, may result in the termination of my employment.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_