



REGISTRATION PROCEDURES AND CHECKLIST

Please have the above paperwork in our office prior to processing your firm resignation letter.

The following items must be completed and returned to Trustmont Financial Group, Inc. Please complete and return checklist with payment.

All information on Form U-4 must be typewritten or printed neatly in BLACK INK.

Please check:

Confidential Questionnaire and Registered Representative Disclosure Documents: Please complete and sign all forms

Form U-4: Completed and manually signed.

Fingerprint registration completed.

Return a copy of your insurance license(s) and variable license(s).

Return fee worksheet and check made payable to Trustmont Financial Group, Inc.

Form U-5: Termination report from previous Broker/Dealer.

If you should have any further questions regarding the completion of your Form U-4 or to request any of the items listed above, please contact Amanda Ickes in our Licensing Department at (724) 468-5665, extension 112.

Upon FINRA and home state registration approval, our Licensing Department will contact you with your Trustmont Financial Group, Inc. Registered Representative number and a copy of your CRD status report.

You may begin to conduct business after receipt of your Trustmont Financial Group, Inc. representative number. FINRA and State approval is necessary before you can conduct any business.