

# Application

**Applicant Information** (please print or type)

Please provide your name exactly as you want it to appear on your Certificate, excluding degrees or designations.

**Business Information**

Prefix First Name M.I. Last Name Suffix Salutation

Business Name

Street Address Ste# City State Zip

Business Phone Fax Cell Phone

Business Email Address Primary  Yes  No Website

**Home Information**

Street Address Ste# City State Zip

Home Phone Cell Phone

Home Email Address Birthdate MM/DD/YY

Please send all mail to my:  Business Address  Home Address

**Experience**

Must have a minimum of four years of experience as a full-time practitioner in the field of financial services: Full-time \_\_\_\_\_ Part time \_\_\_\_\_

**Education**

Education criteria requires an applicant to assert and document achievement in any **ONE** of these areas: **Professional Designations/Credentials, Licensing, Education Background.**

**Professional Designations/Credentials:**  AAMS<sup>®</sup>  CFA  CFP<sup>®</sup>  ChFC<sup>®</sup>  CLU<sup>®</sup>  CPA  EA  LUTCF<sup>®</sup>  RFC<sup>®</sup>  Other \_\_\_\_\_

**Licensing**

Broker/Dealer \_\_\_\_\_ (Personal) FINRA CRD No. \_\_\_\_\_

Securities Licenses:  Series 6 and 63  Series 7 and 63  Series 6 and 66  Series 7 and 66  Series 65  Other \_\_\_\_\_

Insurance Licenses:  Life  Health  Variable Contracts  Prop. & Casualty  Other \_\_\_\_\_

Primary Insurance Company (if any) \_\_\_\_\_

Affiliated with an SEC Registered Investment Advisor (RIA)?  Yes  No

Name of RIA \_\_\_\_\_

**Educational Background**

| School, City, State | Graduated |    | Major | Degree |
|---------------------|-----------|----|-------|--------|
|                     | Yes       | No |       |        |
|                     |           |    |       |        |
|                     |           |    |       |        |
|                     |           |    |       |        |

Evidence of licenses, diplomas, transcripts, or documents may be requested. You need not submit evidence with application.

**Code of Ethics (Applicants must subscribe and adhere to the IARFC Code of Ethics)**

I will put my clients' interests above my own at all times within the scope of my abilities. I will maintain proficiency in my work through continuing education. When fee-based services are involved, I will charge a fair and reasonable fee based on the amount of time and skill required. I will abide by both the spirit and the letter of the laws and regulations applicable to financial planning services. I will give my clients the same service I would provide to myself in the same circumstances.

**Exam**

The Certification Staff will review all candidate applications submitted to determine if the candidate is eligible for sit for the MRFC exam.

Candidates will be notified of their eligibility to sit for the MRFC Exam. The candidate will have 90 days, after notice of application approval.

**MRFC<sup>®</sup> Fee Schedule** Choose one

Nonrefundable Application Fee: \$100  
 Examination/Certification Fee: \$600  
 IARFC Membership Fee **(join)\*** \$100  
 Current IARFC Membership **(continue)\*** \$0  
 Total payment: \_\_\_\_\_

*Annual Recertification Fee commences on anniversary of passing MRFC Exam*

MRFC (Credential Only) \$600  
 MRFC (with IARFC Membership) \$700

**\*Optional...** The IARFC Association Membership provides partner discount programs, technical tools for use in consulting practices, constant exposure to new sales and prospecting ideas, and opportunities to connect with like minded professionals in the financial services industry.

**Payment Options**

1. Mail Application with payment to:

IARFC  
 P.O. Box 506, Middletown, OH 45042

2. Fax Application to:

(513) 345-9479 (credit card only)

3. Email Application to: info@iarfc.org

Check payable to: IARFC

Credit Card: Visa, MC, Amex, or Discover

Credit Card# \_\_\_\_\_

Ex. Date. Security Code \_\_\_\_\_

Signature (enter full name or print and sign) \_\_\_\_\_

### Questions relating to business and ethical conduct

(If you check "Yes" to any of the following questions please attach a written explanation)

|   | Yes                      | No                       |
|---|--------------------------|--------------------------|
| Have you ever been refused a surety bond or other form of employment security?  | <input type="checkbox"/> | <input type="checkbox"/> |
| Have you ever been denied or enjoined from selling or dealing in securities or from functioning as an Investment Advisor?   | <input type="checkbox"/> | <input type="checkbox"/> |
| Have you ever been arrested, indicted, or convicted for any felony or misdemeanor, except for minor traffic offenses?   | <input type="checkbox"/> | <input type="checkbox"/> |
| Have you ever been known personally by any other name, or have you ever conducted financial activities, conducted business or carried brokerage/bank accounts in any other name?  | <input type="checkbox"/> | <input type="checkbox"/> |
| Have you ever become insolvent, failed in business or compromised with creditors? If "Yes" – please provide the date, name, and location of court disposition, liabilities, and assets.   | <input type="checkbox"/> | <input type="checkbox"/> |
| Have you ever had a license, permit, certificate, registration or membership denied, suspended, revoked, or restricted, or have you had an application of such type ever withdrawn for cause?                                       | <input type="checkbox"/> | <input type="checkbox"/> |
| Have you ever been the subject of any order, judgement, decree, or other sanction of a foreign court, foreign exchange, or have you ever been the subject of any action by a foreign or domestic governmental or regulatory agency? | <input type="checkbox"/> | <input type="checkbox"/> |

### Attestations (Applicants please read carefully)

- I hereby certify that I have read and understand the foregoing statements and that my responses are true and complete to the best of my knowledge.
- I hereby apply for MRFC credential and, in consideration of my application, I submit myself to the jurisdiction of the MRFC Certification Program and hereby verify that I agree to abide by all the provisions of the By-Laws and regulations of the MRFC Certification Program as they are and may be amended. I agree to comply with all such requirements, subject to right of appeal as provided by law. I agree that any decision as to the result of any exam(s) that I may be required to pass or annual Continuing Education (CE) requirements will be accepted by me as final.
- I further agree that neither the IARFC, MRFC Certification Program, nor its Trustees, Directors, Officers, or employees shall be liable to me for action taken or omitted in official capacity or in the scope of employment, except as stated in the IARFC By-Laws and the MRFC Certification Program Policies and Procedures.
- I hereby certify that I have a sound record of business integrity with no suspension or revocation of any professional licenses, and I hereby adhere to the IARFC Code of Ethics, a copy of which I have read and understand.
- It is agreed and understood that any material misrepresentation of facts or information given in this application or subsequent renewals may be cause for immediate revocation of the MRFC credential and all its privileges, without refund of any dues or fees paid.
- I understand that failure to disclose any regulatory event, including suspensions or revocations, may disqualify me from initially obtaining the MRFC credential or could result in revocation of the credential.
- I understand and agree that my MRFC credential will not become effective until I have met all the eligibility requirements.
- I understand that the MRFC credential remains the property of the MRFC Certification Program and must be destroyed or returned should my membership or credential be suspended or terminated.
- I understand that continuation of the MRFC credential requires the successful awarding of forty (40) units of financial services focused CE credits every year — of which 2 units every year must be related to Professional Ethics commencing the January of the year following initial acceptance.
- I understand this application is valid for sixty (60) days from the date of receipt by the MRFC Certification Programs's home office and I have ninety (90) days upon application approval to schedule the MRFC exam.
- I authorize the Association and the MRFC Certification Program to make available to any federal, state, or municipal agency, or any securities or commodities industry self-regulatory organization, any information they may have concerning me or to request confirmation of my status, and I release those organizations, employees and agents, from any and all liability of whatever nature by reason of furnishing such information.
- I further agree that my contact information contained in this application be divulged to interested parties as part of the member profile on the IARFC website for the benefit of members and the public.
- I understand that for except for my designation status, written authorization by me is required to release my information.

I attest that I have read and understand the above, that the information I have provided is complete and accurate to the best of my knowledge and belief, and I further understand that my IARFC membership and/or credential may be revoked if I provided any false or incomplete information.

Signature of Applicant (required - enter full name or print & sign) \_\_\_\_\_ Date \_\_\_\_\_

### Recommend a colleague.

|            |  |           |  |
|------------|--|-----------|--|
| First Name |  | Last Name |  |
| Address    |  |           |  |
| City       |  |           |  |
| State, Zip |  |           |  |
| Phone      |  |           |  |
| Email      |  |           |  |

### How did you learn about the IARFC?

- LinkedIn    Facebook    Twitter  
 Broker/Dealer \_\_\_\_\_  
 Direct Mail    Email    Exhibit  
 IARFC Website    Referral    Article  
 Other \_\_\_\_\_

### Referred by (if applicable)

|             |
|-------------|
| Full Name   |
| City, State |



International Association of  
 Registered Financial Consultants  
 P.O. Box 506  
 Middletown, OH 45042-0506  
 Phone: (800) 532-9060  
 Fax: (513) 345-9479  
 Email: info@iarfc.org  
 Website: iarfc.org