

ADVISOR NAME: \_\_\_\_\_

ARE YOU AN EMPLOYEE OR INDEPENDENT CONTRACTOR? \_\_\_\_\_

ARE YOU WORKING EXCLUSIVELY FOR TUCKER ASSET MANAGEMENT? IF NOT, PLEASE EXPLAIN.

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PLEASE PROVIDE DATE OF HIRE OR AFFILIATION WITH TUCKER ASSET MANAGEMENT (MM/DD/YY). \_\_\_\_\_

PLEASE CONFIRM THAT YOU ARE AN INVESTMENT ADVISER REPRESENTATIVE (IAR) OF TUCKER ASSET MANAGEMENT. IF NOT, PLEASE EXPLAIN.

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PLEASE ADVISE IF THE ADDITION OF THE ADVISOR IS THE RESULT OF A MERGER, SALE OR ACQUISITION.

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ARE YOU BRINGING A BOOK OF BUSINESS INTO THE FIRM? IF SO, PLEASE PROVIDE DETAILS OF ANTICIPATED REVENUES AND ASSETS UNDER MANAGEMENT.

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PLEASE PROVIDE YOUR CRD NUMBER AND FORM ADV2B OR DISCLOSURES U-4; OR PLEASE EXPLAIN WHY THEY ARE NOT AVAILABLE.

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