



Hiring Procedures for G.A. Repple & Company

Review Process:

Potential representative completes preliminary application and credit authorization form. These documents are submitted to the Licensing Department along with a copy of the previous years 1099 and/or W-2 for the potential representative.

Once this information is received by the Licensing Department, reports are compiled, and review of the information begins by a team of managers at the firm. Once the review process is completed, and if a potential representative is offered the opportunity to join G.A. Repple & Company, they will be notified by email.

Licensing Process:

Once it has been determined that the potential representative and the firm agree on hiring the licensing process will begin.

A licensing kit will be emailed to the potential representative. Once the information is received, they will contact the Licensing Department by email to schedule a conference call to review the requirements in the kit. The conference call will run approximately forty minutes. The Licensing Coordinator will also conduct data gathering to determine, start date, branch office status, licensing requirements, etc. A licensing fee invoice will be developed and emailed to the potential representative upon completion of the conference call.

Once a start date is set the potential representative must submit all licensing requirements, forms, complete the fingerprint process and pay all fees to the home office prior to the registration date with FINRA.

Compliance Requirements:

Two emails, Part I and II will be sent to the new representative, which will include informative information such as, representative number, access information to Quest CE and branch office information. This email will also include a list of compliance items that will need to be completed in a timely manner.

Registration Process:

On the date of registration, the Licensing Coordinator will process the registration electronically to FINRA. At this time the representative will be registered with our firm on a temporary basis until cleared with FINRA and states approvals are received. Once all approvals are received a confirming email will be sent to the representative along with compliance requirements.

Training Process:

The Home Office OSJ will be assigned as your Relationship Manager. He will guide and assist you with questions you may have. He will act as your advocate with all departments.

Training on how to process new business and transfer existing business will be provided by your OSJ office/or the home office, depending on your supervisory office. Training will consist of direct and brokerage business.

A conference call or meeting will be provided by the home office team or your individual OSJ office to review compliance and supervision requirements. The representative will also receive an overview of the various software programs that are available and/or recommended.

The entire hiring process will take approximately four weeks depending on individual situations, which can vary this time frame either way.

G.A. Repple & Company - Licensing Department 11/12/2019