Getting Started Checklist for LionShare Practice Management Director

Please review the checklist to establish your relationship with LionShare, LLC. Complete and sign all necessary documents, provide supplementary documents and forward the completed forms to:

LionShare, LLC
2687 44th Street SE
Kentwood, MI 49512

- ☐ Confidential Questionnaire fully completed
- ☐ Outside Business Activities disclosed; provide detailed explanation for each activity where applicable
- ☐ Enclose proof of any designations:
  If you are a CFP, ChFC, PFS, CFA or CIC please provide proof of designation.
- ☐ Provide written & signed explanation for any "YES" answers
  - Include any supportive documentation
- ☐ Provide completed W9 Form

Confidential Questionnaire
For Practice Management Directors

Should you have any questions regarding the completion of this questionnaire, please email or call onboarding@regalria.com or (800) 357-4757. If you are licensed and will be affiliating with Regulus Financial Group or Regal Investment Advisors as well, please complete the onboarding paperwork for each entity.

Please ensure all information is completed for timely processing.

Background Information

Legal Name (First, Middle, Last): _____ Nickname: _____

SSN: _____ DOB: _____

Business Address: _____ City: _____ State: _____ Zip: _____

Primary Phone: ( ) _____ Work Phone: ( ) _____

Cell Phone: ( ) _____ Business Fax Phone: ( ) _____

Business Email: _____

Business Website: _____

Home Address: _____ City: _____ State: _____ Zip: _____

Personal Email: _____

Are you currently securities licensed? ☐ Yes ☐ No

Security licensed held: ☐ S7 ☐ S6 ☐ S24 ☐ S26 ☐ S65 ☐ S66 ☐ S8/9/10

If licensed, what broker/dealer and/or RIA are you currently licensed with? _____

**If you are currently licensed, please see the Regal Investment Advisors registration paperwork for affiliation information.*

If licensed, please list your CRD number? _____

What professional designations do you hold? _____

Please provide written and signed explanation for all of your designations with supporting documents.

Do you have outside brokerage accounts? ☐ Yes ☐ No

If yes, please provide statements. Accounts must be moved under Regal upon onboarding.

Regulatory History

	Yes	No
A. Have you ever been convicted of or pleaded guilty or nolo contendere (no contest) to:		
a. A felony or misdemeanor involving: investment or investment-related business, fraud, false statements or omissions, wrongful taking or property or bribery, forgery, counterfeiting or extortion?	☐	☐
b. Gambling?	☐	☐
c. Any other felony?	☐	☐
d. Any other misdemeanor and/or criminal charge?	☐	☐
B. Have you, or an organization over which you exercised management or policy control, ever been charged with a felony or charged with a misdemeanor specified in question A (1) or (2)? *If yes, please provide a copy of the case documents*	☐	☐
C. Have you ever been the subject of an investment-related, consumer-initiated compliant or proceeding that:		
a. Alleged compensatory damages of $10,000 or more, fraud or wrongful taking of property?	☐	☐
b. Was settled or decided against you for $5,000 or more, or found fraud or the wrongful taking of property?	☐	☐
D. Has any court ever:		
a. Enjoined you in connection with any investment-related activity?	☐	☐
b. Found that you were involved in a violation of investment-related statues or regulations?	☐	☐
E. Do you have any unsatisfied judgments or liens against you?	☐	☐
F. Has the U.S. Securities and Exchange Commission or the Commodity Futures Trading Commission ever:		
a. Found you to have made a false statement or omission?	☐	☐
b. Found you to have been involved in a violation of investment-related regulations or statutes?	☐	☐
c. Found you to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked or restricted?	☐	☐
d. Entered an order denying, suspending or revoking your registration or disciplined you by restricting your activities?	☐	☐
G. Are you now the subject of any complaint, investigations or proceeding that could results in a “Yes” answer to Parts A – E of this section?	☐	☐
H. Has a bonding company denied, paid out on or revoked a bond for you?	☐	☐
I. Have you, or a firm that you exercised management or policy control over or owned 10% or more of the securities of, failed in business, made a compromise with a creditor, filed a bankruptcy petition or been declared bankrupt?	☐	☐
J. Has a broker or dealer firm that you exercised management or policy control over, or owned 10% or more of the securities of, been declared bankrupt, had a trustee appointed under the Securities Investor Protection Act or had a direct payment procedure initiated?	☐	☐
K. Have you ever been discharged or permitted to resign because you were accused of:		
a. Violating investment-related statues, regulation, rules or industry standards or conduct?	☐	☐
b. Fraud or the wrongful taking of property?	☐	☐
c. Failure to supervise in connection with investment-related statutes, regulation, rules or industry standards or conduct?	☐	☐

For any item(s) answered, “Yes”, please provide in a signed typewritten document, a statement in your own words along with all supporting documents, explaining the circumstances.

Disclosure of Outside Business Activities

☐ I am currently a licensed insurance agent able to solicit/sell insurance & annuity products

- Type of insurance/annuity products that you sell: _____
- Approximate hours per month devoted to insurance/annuity business: _____
- Amount of insurance/annuity revenue generated per year: $ _____

☐ I have a DBA, LLC, S Corp, Etc.

- Name and entity type: _____
- Will you be marketing yourself under the entity above? ☐ Yes ☐ No
  If marked "No", what name will you be marketing yourself under to your clients? _____

☐ I am not engaged in any other outside business activities or employment.

☐ I am engaged in outside business activities or employment at this time (see below).

Outside business activities are any activities for which you or any company you own or other arrangement with any business entity with which you are associated or not associated, receives any form of compensation or other item of value that directly or indirectly benefits you. It also includes any activities you may participate in that you do not receive compensation for (i.e.: school board member, political parties, consulting, a corporate officer or board member of a charitable organization, etc.).

In addition to my investment advisory business, I am also engaged in the following business activities:
(If any box is checked please provide a detailed description below.)

☐ 1. Lawyer/Legal
☐ 2. Accountant
☐ 3. Mortgage Related Services
☐ 4. Trust Related Services
☐ 5. Real Estate/Rental Properties
☐ 6. Civic Groups or Organizations
☐ 7. Pension Administration
☐ 8. Other(s) _____
☐ _____

If engaged, please provide a detailed explanation of your Outside Business Activities (Details should include activity type, your position, title or relationship with the business, amount of cash or non-cash compensation - salary, fees, commissions, etc – if any, and approximate hours per month devoted to the other business):

Activity Type	Position/Title	Compensation / Income	Hours Per Month
		$	
		$	
		$	

Print Name: _____

Signature: _____ **Date:** _____

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Notice of Consumer Investigative Report and Consent of Investigative Consumer/Background Report and Pre-Hire CRD Review

I,_____, understand that, in connection with my application as a Practice Management Director or Practice Management Director Leader with LionShare, LLC (the "company"), the company may perform a pre-hire review through the Central Registration Depository (CRD) and also may obtain an investigative consumer report(s), financial information (including credit and litigation history) and criminal history information, which may include information as to my character, general reputation, personal characteristics and mode of living obtained through personal interview with neighbors, friends, associates, acquaintances or others who may have knowledge concerning such items of information. I hereby authorize and give my consent to the company to obtain such report(s). I understand that, upon my request, I will be informed whether any investigative consumer report was sought and the name and address of the agency asked to prepare such report(s), and that subsequent investigative consumer reports may be sought or utilized in connection with an update, renewal or extension of my application for employment. I also understand that I have the right to request in writing, within a reasonable period of time after the date of this notice and consent, information concerning the nature and scope of the investigation requested or of any investigative consumer report. This information must be provided to me in a written statement that is mailed or otherwise delivered to me no later than five (5) days after the date on which my request was received or the report was first requested, whichever is later in time.

I have received and read "A Summary of Your Rights under the Fair Credit Reporting Act" (the Summary of Rights), which is attached hereto and details my rights under the Fair Credit Reporting Act (FCRA). I understand the content of the summary and its description of my rights.

Dated: _____

Print Name: _____

Signature: _____

Date of Birth: _____

Social Security Number: _____

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On-boarding Forms

Hybrid Affiliates

All areas that require completion are highlighted for reference. These areas include:

- Email and Website Policy: Page 1
- Email and Website Option Sheet: Page 2
- Social Media Policy Background: Page 3
- Social Media Policy: Page 4
- Social Media Guidelines: Page 5-6
- FINRA Form U4 Background History: Page 7
- RIA State Registration: Page 8
- BD State Registration: Page 9
- Variable Annuity Carrier Appointment Request: Page 10
- Affiliate Relationship Data: Page 11

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Email and Website Policy

Regal Investment Advisors (Regal) and Regulus Financial Group (Regulus) maintain a uniform email and website policy that covers both Registered Representatives and Investment Advisor Representatives. The details and definitions necessary to understand the policies and options offered for affiliates are outlined below.

Definitions

1. Affiliate: Any Investment Advisor Representative registered through Regal or any Registered Representative associated with Regulus.
2. SMARSH: The service utilized by Regal/Regulus for email archiving and supervision.
3. Landing Page: A temporary webpage used for Online marketing campaigns.
4. Website Host / Vendor: The entity that stores the pages of your website and makes them available to computers connected to the Internet.

Email

Email is available to affiliates in two forms, a DBA email or a Regal/Regulus based email. For affiliates who wish to use a Regal / Regulus based email, archiving will be set up through the compliance department. Affiliates who wish to maintain an @DBA email will need to work with the compliance department and SMARSH to get their email set up for archiving and supervision.

Websites

Affiliates can maintain business related websites provided they are hosted and set up through one of the approved hosting vendors listed below.

- Twenty Over Ten
- FMG Suite

Regal/Regulus has existing relationships with these vendors and have the compliance systems in place that are necessary under the relevant rules and regulations, protecting your practice.

Landing Pages

Affiliates may use landing pages provided they are hosted through one of the approved hosts. If any affiliates wish to set up a landing page, they should first reach out to the compliance team zcompliance@regalfin.com.

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Email and Website Option Sheet Email

☐ - I need an @Regalfin.com email and do not have a business email address. – will be charged $6 per month per email address

- If selected, please proceed to Website options

☐ - I have an @DoingBusinessAs email and need assistance with the setup of supervision for the following affiliate(s) and assistants.

Affiliate / Assistant Name	Email Address

Website

☐ - I do not have and do not want a website.

☐ - I have a website / I will be building a website and I will be using the following hosting service.

☐ -Twenty Over Ten
☐ - FMG Suite

By signing below, I acknowledge that I have reviewed this document and that I will comply with the procedures set forth by Regal/Regulus.

Affiliate Name	Website Domain Name (If Applicable)
Affiliate Signature	Date

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Regal/Regulus Posting Definitions for Social Media

For social media guidelines, the following definitions apply:

- Social Media – Facebook, Twitter and LinkedIn are the only approved platforms, all other forms of social media are currently prohibited.

- Affiliate - any Regal/Regulus representative or their assistant who has been properly trained and approved for social media usage.

- Static Content – "Static" posts refer to any information that generally does not change. For instance, page name, business information, profile information, the about section, work history or other media that stays constant on the site. Static content is defined as retail communication and requires pre-approval by the compliance team through the COMET Ad Review system.

- Active Content – Any content that can be commented on, shared, or liked. Examples would be wall posts, comments, or shares. Business related active content must be pre-approved via the COMET Ad Review system. Exceptions for active content pre-approval exist when the content is not business related or financial in nature. An example would be a post wishing everyone "happy holidays". These posts undergo review after they have been posted and do not require pre-approval.

- 3rd party - Anyone on the internet who is not the affiliate or Regal / Regulus. All 3rd party posts, shares and likes are considered "adoptions" of the content. For this reason, 3rd party content posted or shared by affiliates will require pre-approval through the COMET Ad Review system.

- COMET – Internal document review system used for ad review and pre-approval of changes to static content or 3rd party posts.

- SMARSH – The service used for archiving social media posts.

- Quest CE – Online training platform utilized by Regal/Regulus for training affiliates and their assistants.

Social Media Policy

Regal/Regulus considers business related social media for both Investment Advisor Representatives and Registered Representatives to be under the same regulations. Because of this, Regal/Regulus maintain a uniform policy for both entities which affiliates attest to when they first come onboard. Thank you to all the affiliates who have returned the attestation and who continue to work with us to ensure their business-related social media is compliant. Because of the spotlight on social media arising out of recent audits, as well as feedback we have received from affiliates, the compliance team continues to reevaluate the social media policy to comply with regulatory notices while considering the needs of our affiliates and trying to make the policy as practical as possible.

Generally, regulations break out social media content based on whether it is considered static, active, business related or 3rd party content. We have provided the breakdown below in order to assist with the determination on what type of approval and record keeping is required.

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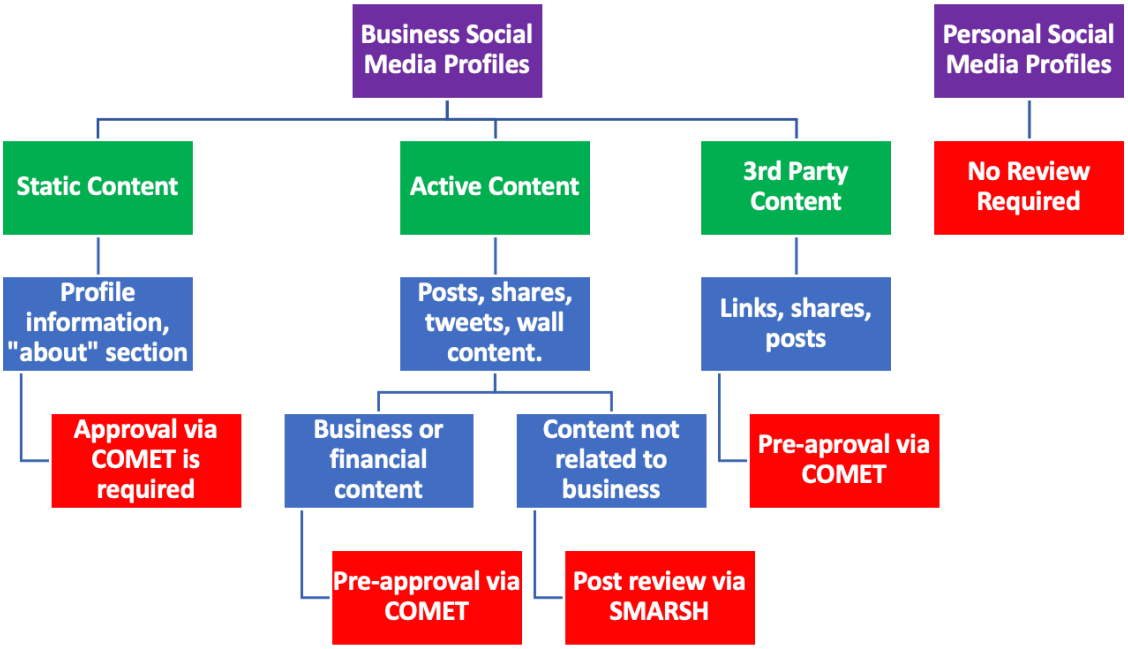
Purple: Profile Type **Green**: Content Type

Blue: Content Description **Red**: Approval Requirements



Affiliates are prohibited from engaging in business communications on a social media site that is not subject to supervision. This includes pages and accounts set up for business related purposes and personal accounts where an affiliate posts business related content. Affiliates cannot post any content before the account is setup for archiving through SMARSH. Affiliates and assistants who post on behalf of affiliates must complete three social media trainings on Quest CE. These trainings will be automatically assigned to the affiliate and assistants upon completion and return of the WSP attestation.

Appropriately trained affiliates may use social media sites for business purposes to post content that consists of profile, background and “wall” information that falls within the posting guidelines. Regal/ Regulus will retain records of all posted content and monitor approved accounts on an on-going basis to ensure compliance with Regal/Regulus policies.

Existing accounts and listings must be disclosed to the compliance department and set up for review and approval before the affiliate starts posting. If an unapproved account or listing is discovered, the compliance department will notify the affiliate in writing that the listing is not approved and must immediately be removed.

If an affiliates’ use of social media does not comply with Regal/Regulus policies and procedures, or if the Chief Compliance Officer determines that an affiliates use of social media presents compliance risks, disciplinary action including fines and or termination will apply.

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Social Media FAQs

1. Can I get set up for Social Media if it was not a part of my onboarding?
    - All affiliates who wish to participate in business related social media must first complete the proper training in Quest CE. All profiles maintained by properly trained affiliates must be approved and properly archived through SMARSH before the affiliate begins posting. Please reach out to thecompliance team if you wish to begin using Social Media.

2. Can I use my personal account? Does it need to be archived?
    - If an affiliate wishes to engage in business related social media from their personal account, the account will need to be archived and will be subject to the same posting guidelines regarding business related content. Any personal account not being used for business purposes will not be subject to supervision.

3. What do I do to set up a new page or if I want to update my existing bio / work history?
    - Any initial page creations or changes to static content will need to be submitted and approved through the COMET ad review system.

4. If the content has been approved on the Regal website or through my website, do I need to get it approved before posting a link on Social Media?

5. Can I post videos to my Social Media page?
    - Business related video content posted to websites, social media, YouTube or any other platform must contain the proper disclosures and be pre-approved. This is due to the nature of posting media to the internet and the fact that it could be downloaded and shared without the affiliate's knowledge. Affiliates with existing videos can contact the Regal/Regulus Marketing team for assistance on adding disclosures to existing videos.

6. Can my clients leave reviews on my page?
    - Any reviews in the form of stars or short testimonials are interpreted as solicited testimonials and will not be allowed at this time.

7. Can I communicate with clients via Social Media messengers?
    - Affiliates may not communicate with clients or prospects on social media in any capacity beyond what would be considered reviewable and archivable. The only Social Media currently approved for messaging is LinkedIn.

8. Where can I go with additional questions?
    - If you have any questions or concerns about this policy or your current social media usage please feel free to contact Ben Westin (bwestin@regalfin.com), Dan Ruble (druble@regalfin.com), or Spencer Lademan (slademan@regalfin.com).

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RESPONSE REQUIRED

Please list the business-related social media you maintain below affiliates will be charged $7 per month per profile to cover archiving and review costs:

Facebook: _____

Twitter: _____

LinkedIn: _____

Training to be completed by affiliates and their assistants in Quest CE before social media approval:

**Trainings will be automatically assigned to affiliates and their assistants upon the completion and return of this form.*

1. Social Networks and Websites 1598 (Facebook and Twitter)
2. Social Media: Best Practices for Registered Representatives 4301 (Facebook and Twitter)
3. Social Media: Communications with the Public in an Electronic Environment 3612 (Facebook, LinkedIn and Twitter)

By signing below, I acknowledge that I have reviewed this document, and will comply with the procedures set forth by Regal/Regulus.

Affiliate Name: _____ Date: _____/_____/_____

Affiliate Signature: _____

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FINRA Form - U4 - Background History

Employment History - Past 10 Years

From-To (Month/Year)	Name of Firm/Company	Full Address	Position Held

Education History

From-To (Month/Year)	Name of University/College	Degree/Major	Yr Grad/Dates Attended

Residential History - Past 5 Years

From-To (Month/Year)	To (Month/Year)	Street Address

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RIA State Registrations

Under RIA, please only mark the States that you reside and/or have offices in. If you have clients in Louisiana or Texas, please mark these states as well.

State	Mark Box
Alabama	☐ IAR
Alaska	☐ IAR
Arizona	☐ IAR
Arkansas	☐ IAR
California	☐ IAR
Colorado	☐ IAR
Connecticut	☐ IAR
Delaware	☐ IAR
District of Columbia	☐ IAR
Florida	☐ IAR
Georgia	☐ IAR
Hawaii	☐ IAR
Idaho	☐ IAR
Illinois	☐ IAR
Indiana	☐ IAR
Iowa	☐ IAR
Kansas	☐ IAR
Kentucky	☐ IAR
Louisiana	☐ IAR
Maine	☐ IAR
Maryland	☐ IAR
Massachusetts	☐ IAR
Michigan	☐ IAR
Minnesota	☐ IAR
Mississippi	☐ IAR
Missouri	☐ IAR
Montana	☐ IAR
Nebraska	☐ IAR
Nevada	☐ IAR
New Hampshire	☐ IAR
New Jersey	☐ IAR
New Mexico	☐ IAR
New York	☐ IAR
North Carolina	☐ IAR
North Dakota	☐ IAR
Ohio	☐ IAR
Oklahoma	☐ IAR
Oregon	☐ IAR
Pennslyvania	☐ IAR
Puerto Rico	☐ IAR
Rhode Island	☐ IAR
South Carolina	☐ IAR
South Dakota	☐ IAR
Tennessee	☐ IAR
Texas	☐ IAR
Utah	☐ IAR
Vermont	☐ IAR
Virgin Islands	☐ IAR
Virginia	☐ IAR
Washington	☐ IAR
West Virginia	☐ IAR
Wisconsin	☐ IAR
Wyoming	☐ IAR

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BD State Registrations

Under B/D, please mark the states that you reside in, have offices in, and prospect/have clients in.

State	Mark Box
Alabama	☐ RR
Alaska	☐ RR
Arizona	☐ RR
Arkansas	☐ RR
California	☐ RR
Colorado	☐ RR
Connecticut	☐ RR
Delaware	☐ RR
District of Columbia	☐ RR
Florida	☐ RR
Georgia	☐ RR
Hawaii	☐ RR
Idaho	☐ RR
Illinois	☐ RR
Indiana	☐ RR
Iowa	☐ RR
Kansas	☐ RR
Kentucky	☐ RR
Louisiana	☐ RR
Maine	☐ RR
Maryland	☐ RR
Massachusetts	☐ RR
Michigan	☐ RR
Minnesota	☐ RR
Mississippi	☐ RR
Missouri	☐ RR
Montana	☐ RR
Nebraska	☐ RR
Nevada	☐ RR
New Hampshire	☐ RR
New Jersey	☐ RR
New Mexico	☐ RR
New York	☐ RR
North Carolina	☐ RR
North Dakota	☐ RR
Ohio	☐ RR
Oklahoma	☐ RR
Oregon	☐ RR
Pennslyvania	☐ RR
Puerto Rico	☐ RR
Rhode Island	☐ RR
South Carolina	☐ RR
South Dakota	☐ RR
Tennessee	☐ RR
Texas	☐ RR
Utah	☐ RR
Vermont	☐ RR
Virgin Islands	☐ RR
Virginia	☐ RR
Washington	☐ RR
West Virginia	☐ RR
Wisconsin	☐ RR
Wyoming	☐ RR

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Variable Annuity Carrier Appointment Request Form

Check off all companies that you are currently doing business with and/or all companies you wish to be appointed with. You will need to be reappointed for variable life and variable annuity business companies upon affiliation with Regulus.

Carrier Names	Need to be Appointment	Already Appt?
AIG/ Sun America		
Allanz		
Allstate		
American General		
Athene		
Aviva Life		
AXA		
Delaware Life		
Equitrust		
Forethought		
Genworth Life		
Great West Life		
Great American		
Hartford Life		
Integrity Life Insurance		
Jackson National		
Jefferson National		
John Hancock		
Lincoln National		
Lincoln Financial		
Mass Mutual		
Metlife/Brighthouse		
National Western Life		
Nationwide		
Ohio National		
Pacific Life		
Phoenix Life		
Principal		
Prudential		
Security Benefit		
TransAmerica		
VOYA		
OTHER:		

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Affiliate Relationship Data

Name:		Alma Mater:
Shirt Size:		Ring Size:
Spouse Name:		
Spouse Birthday:		
Spouse Alma Mater:		
Spouse Shirt Size:		
Anniversity Date:		
Children Name(s)/Birthday(s):	1. _____ 2. _____ 3. _____	1. _____ 2. _____ 3. _____

Favorites

Restaurants & Foods:
Author/Genre:
Music:
Drinks:
Sports & Teams:
Hobbies: