



# Essencap Broker Application

## SECTION I – GENERAL INFORMATION

Name (person(s)): \_\_\_\_\_

Brokerage Name and DBA Names, if any: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_

Zipcode : \_\_\_\_\_ Country: \_\_\_\_\_

Date & Place of Formation : \_\_\_\_\_

Nature of Business: \_\_\_\_\_

Website: \_\_\_\_\_

NMLS License info (include State(s) held): \_\_\_\_\_

Key Business locations/primary trade areas: \_\_\_\_\_

Does anyone directly or beneficially own more than 10%      Yes       No

Does anyone directly or beneficially own more than 25%      Yes       No

Significant direct and beneficial owners (shareholders, partners, etc) – Include all persons who own 10% or more

Name	State & Country of Residence	%	Date of Birth (MM/DD/YYYY)
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

**SECTION II – FINANCIAL & TAX INFORMATION**

**Financial Statement Data (USD), please provide whichever apply:**

Annual Sales \_\_\_\_\_ As of \_\_\_\_\_

Managed Assets \_\_\_\_\_ As of \_\_\_\_\_

Income \_\_\_\_\_ As of \_\_\_\_\_

Revenue \_\_\_\_\_ As of \_\_\_\_\_

**Tax Information:**

Tax Status            US             Non US

US Taxpayer Identification Number (TIN): \_\_\_\_\_

For Non-US entities, non-US Government ID: \_\_\_\_\_

Does the entity have a tax-exempt status under the IRS 501(c)(3):             Yes             No

**SECTION III – DOCUMENTATION**

PLEASE ATTACH COPIES OF THE FOLLOWING DOCUMENTS:

1. Articles of Incorporation, Articles of Organization, Partnership, or similar formation document
2. Copies of any Government issued licenses required for conducting your business
3. W-8/W-9 Form or Copy of non-US Government Issued TAX ID
4. Where applicable, proof of tax-exempt status under IRS 501(c)(3)

**SECTION IV – AUTHORIZATION**

Signature \_\_\_\_\_

Date \_\_\_\_\_            Name and Title \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_            Name and Title \_\_\_\_\_

**Essencap Financial, LLC:(internal use ONLY):**

Background completed date: \_\_\_\_\_

Review Completed by-Name:\_\_\_\_\_ Date:\_\_\_\_\_

Approved : Y or N                      Date:\_\_\_\_\_

Watchlist: Y or N                      Date:\_\_\_\_\_

Denied: Y or N                      Date:\_\_\_\_\_