



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)
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_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

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: _____