



Any offer of employment may be conditioned on the Applicant's submitting to and passing a drug/alcohol screen.

INSIGHT CAPITAL RESEARCH & MANAGEMENT, INC.

2121 N. CALIFORNIA BLVD., SUITE 560, WALNUT CREEK, CA 94596

Insight is an equal opportunity employer and selects employees on the basis of ability, experience, training, and character. If you need assistance in completing this form, please let us know so that we can discuss a reasonable accommodation.

Please Note: Insight considers applications for only a 30-day period. If you wish to be considered after 30 days from the date of application, please reapply.

APPLICATION FOR EMPLOYMENT

PERSONAL INFORMATION

Date: _____ Social Security Number: _____

Name: _____

Permanent Address: _____

Email Address: _____

Phone Number: _____

Referred By: _____

* Please identify email through which we may contact you or leave blank.

EMPLOYMENT DESIRED

Position: _____ Date You Can Start: _____

What Pay Do You Expect? _____ What Days and Hours Are You Willing to Work? _____

Are You Employed Now? _____ If so, May We Inquire of Your Present Employer? _____

Have You Ever Worked for Insight? _____ If so, When? _____

Have You Ever Applied to Insight? _____ If so, When? _____

Please complete all areas so we may verify education, certifications and employment history:

EDUCATION AND SKILLS

	Name of School	Location of School	Number of Years	Graduated Yes No	Year	Mo.	Degree Received	Major/Subjects
Last Grade or High School								
Business and Trade Schools								
Colleges and Universities								

List of certificates or licenses you hold that may help qualify you for employment:

If applicable: CRD# _____ MS Certification# _____

List any job-related professional or technical organizations to which you belong:

U.S. Military or Naval Service? Yes No

Dates of Service _____ Rank: _____

What foreign languages can you speak, read, and/or write? _____

Driver's License Information:

State: _____ Number: _____ Expiration Date: _____

List all traffic convictions received within the last three years:

CRIMINAL OFFENSES

Have you been convicted of a crime (excluding any sealed or expunged conviction)? Do not provide information about marijuana related convictions more than two years old.

- Yes No

Describe and explain (convictions will not necessarily disqualify an applicant from employment):

Are you currently awaiting trial for any criminal offense?

- Yes No

If so, explain:

Definitions for the questions below:

Investment or Investment-Related – Pertaining to securities, commodities, banking, insurance or real estate (including but not limited to acting as or being associated with a broker-dealer investment company, investment adviser, future sponsor, bank or savings and loan association.)

Involved – Doing an act or aiding, abetting, counseling, commanding, inducing, conspiring with or failing reasonably to supervise another in doing an act.

Foreign Financial Regulatory Authority – Includes (a) a foreign securities authority; (b) other governmental body or foreign equivalent of a self-regulatory organization empowered by a foreign government to administer or enforce its laws relating to the regulation in investment or investment-related activities; or (c) membership organization, a function of which is to regulate the participation of its members in the activities listed above.

YES NO

1. Has any organization over which you exercised management or policy control, ever been convicted of any felony or misdemeanor involving investments or an investment-related business, fraud, false statements or omissions, wrongful taking of property, or bribery, forgery, counterfeiting or extortion?
2. Has any domestic or foreign court ever:
- (a) enjoined you in connection with any investment-related activity?
- (b) found that you were involved in a violation of investment-related statutes or regulations?

YES NO

3. 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?
 - (e) imposed a civil money penalty on you, or ordered you to cease and desist from any activity?
4. Has any other federal regulatory agency or any state regulatory agency or foreign financial regulatory authority ever:
- (a) found you to have made a false statement or omission or been dishonest, unfair or unethical?
 - (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 against you in connection with investment-related activity?
 - (e) denied, suspended, or revoked your registration or license or otherwise prevented you from associating with an investment-related business, or disciplined you by restricting your activities?
5. Has any self-regulatory organization or commodities exchange:
- (a) found you to have made a false statement or omission?
 - (b) found you to have been involved in a violation of its rules?
 - (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) disciplined you by expelling or suspending you from membership, barring or suspending your association with its members, or restricting your activities?
6. Has any foreign government, regulatory agency or exchange ever entered an order against you related to investment fraud?
7. Have you ever been the subject of an investment-related, consumer-initiated complaint 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?

- 8. Are you now the subject of any complaint, investigation, or proceeding which could result in a “yes” answer to parts 1-7 of this item?
- 9. Has a bonding company denied, paid out on, or revoked a bond for you?
- 10. Do you have any unsatisfied judgment or liens against you?
- 11. 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 creditors, filed a bankruptcy petition or been declared bankrupt?
- 12. 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?
- 13. Have you been discharged or permitted to resign because you were accused of:
 - (a) violating investment-related statutes, regulations, rules, or industry standards of conduct?
 - (b) fraud or the wrongful taking of property?
 - (c) failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct?

If you have answered yes to any of these questions, please explain:

PREVIOUS WORK EXPERIENCE

List below each of your previous employers, starting with last one first (use an additional page if necessary):

Employer Name: _____ Date Hired: _____ to _____

Address: _____

Supervisor's Name: _____ Telephone No.: _____

Total length of employment: _____ Position held: _____

Length of time at current position: _____ Current wages: _____

Previous positions held with this employer: _____

Current duties: _____

Reason for leaving: _____

May we contact this employer? Yes No

Employer Name: _____ Date Hired: _____ to _____

Address: _____

Supervisor's Name: _____ Telephone No.: _____

Total length of employment: _____ Position held: _____

Length of time at current position: _____ Current wages: _____

Previous positions held with this employer: _____

Current duties: _____

Reason for leaving: _____

Employer Name: _____ Date Hired: _____ to _____

Address: _____

Supervisor's Name: _____ Telephone No.: _____

Total length of employment: _____ Position held: _____

Length of time at current position: _____ Current wages: _____

Previous positions held with this employer: _____

Current duties: _____

Reason for leaving: _____

Employer Name: _____ Date Hired: _____ to _____

Address: _____

Supervisor's Name: _____ Telephone No.: _____

Total length of employment: _____ Position held: _____

Length of time at current position: _____ Current wages: _____

Previous positions held with this employer: _____

Current duties: _____

Reason for leaving: _____

Have you been discharged for cause from any of the above positions?

No

Yes

— If so, explain _____

REFERENCES: Give the names of three professional persons whom we may contact.			
Name	Address	Business	Years Acquainted
1.			
2.			
3.			

I understand and acknowledge the following:

1. I authorize investigation of all statements contained in this application and any supporting documents. I authorize the Company to secure information about my experience from former employers, educational institutions, government agencies, or any references I have provided, and for those parties to provide information concerning my experience and specifically authorize investigation of my D.M.V. record, criminal record, and consumer credit history. INITIALS
2. If I am offered employment, I will, as a condition of employment, be required to submit proof of my identity and legal right to work in the U.S. INITIALS
3. If I am offered employment, I will, as a condition of employment, furnish proof that I am over 18 years of age. INITIALS
4. If I am employed, any false statement, misrepresentation, or omission of facts on this application or on any supporting documents, regardless of when discovered to be false, will result in my immediate dismissal. INITIALS
5. I will be required to possess a current and valid California driver's license and be insurable if my job requires me to drive in the course of my work. INITIALS
6. I agree that, if I am offered employment, I will be required to conform to the rules and regulations of the Company. INITIALS
7. I understand that if I am offered a position, it will be offered on condition that my employment shall be at will and for no definite period, and that my employment may be terminated at any time for any reason, with or without cause and with or without prior notice. In consideration for employment, I specifically agree that my employment shall be at will. I also understand and agree that, except for the Chief Executive Officer of the Company, no supervisor or manager may alter or amend the above conditions. Only the Chief Executive Officer of the Company has authority to enter into any agreement for employment for any specified period of time or to make any agreement contrary to the foregoing, and then only in writing signed by the Chief Executive Officer and me. INITIALS
8. I understand that, as a condition of employment, I may be requested to sign a written at will employment agreement and/or an agreement to arbitrate all disputes arising out of my employment or the termination of my employment to the full extent permitted by law. I agree to do so if I accept the offer. INITIALS
9. My signature below and my initials at the end of this paragraph and each paragraph above, certify that I have read, understand, and agree to the foregoing and that, to the best of my knowledge and belief, all information I have provided on the application form is true and correct. INITIALS

Date: _____

Signature: _____