AdvisorLoans | Application

Applicant (Individual)

Name: CRD #

W-2 or 1099? Estimated Credit Score Certification(s)?: CFP CFA

Years of Advisor Experience:

Applicant (Business)

Business Name S Corp C Corp LLC Sole Prop

Website Address 2022 Tax Return Filed? Yes No

Contact Information

Mobile Phone Work Phone Direct Line

Primary Email Street Address

City State

Advisory Practice

AUM Trailing 12 Months Revenue 2022 Revenue

% in Recurring Revenue Number of Clients Number of Offices

Broker Dealer / Custodian(s)

The model that mostly closely describes me:

IBD - Principal
RIA - Principal
Hybrid RIA - Principal
Franchise - Principal
OSJ - Principal
Insurance Broker - Principal
Investment Advisor Rep - 1099
Associate Financial Advisor - 1099
Agent - 1099
W-2 Service Advisor

How did you hear about AdvisorLoans?

BD/Custodian Vendor List
BD/Custodian Referral
Third Party Referral
Advisor Referral
Internet Search
Media

Is there someone we should thank for your referral?

AdvisorLoans | Application

Acquisition

Full Practice Acquisition
Partial Client Acquisition
Full Equity/Stock Buy-out
Partial Equity/Stock Buy-out
Partial Equity/Stock Buy-in
Third Party Acquisition Costs

Working Capital

Buildout, Furnish, Renovate
Hire Additional People
Technology, Website, Upgrades
Marketing, Advertising, Events
Equipment and Hardware
Other

Debt Consolidation / Refinace

SBA Loan(s)
Business Conventional Loan(s)
Seller Note(s)
Business Credit Card(s)
Other Business Purpose Debt

Recruiting Into Your Firm

Recruiting bonus
Transition period pay
Pay off recruit's recruiting note
Onboarding and Training Expenses
Projected ACAT Fees
Office, technology, setup expenses
Marketing, Advertising, Events
Third Party Recruiting Fees

Transition / Breakaway

Transition Working Capital
W-2 Recruiting Note Payoff
1099 Recruiting Note Payoff
Office, technology, set up expenses
Initial payroll, operating expenses
Marketing, Advertising, Events

Total Loan Request

Targeted or Set Closing date?

Credit score is not pulled during the application process.
Credit is only pulled when a term sheet is executed.

AdvisorLoans | Application

Please select NO or YES

Has/is the applicant, borrower, co-borrower, guarantor or affiliate:

NO YES

Had any outstanding or unsatisfied judgments?

Currently subject to a foreclosure action?

Had a property foreclosed upon or given title or deed in lieu thereof?

Been a party to a loan obligation that was either delinquent or in default?

Been delinquent on any Federal, State or any other taxes?

Are you a partner or officer in any other venture?

Do you have a current lien on your business from business debtors or business loans?

Has applicant or any proposed guarantor applied for credit under a different name?

Has applicant or any proposed guarantor ever filed for bankruptcy?

Has applicant or any proposed guarantor ever been convicted of a felony?

Is applicant or any proposed guarantor currently involved in any litigation, arbitration, or a law suit?

Answer below questions if loan purpose is an acquisition

NO YES

Have you acquired a practice (full or partial client) before?

Do you have an executed LOI already?

Do you have a purchase agreement already?

Will this be an asset or stock purchase?

Is a portion being seller financed?

Do you want to make a down payment?

Do you want 100% bank financing?

Do you already have a valuation on seller's business?

Are you using a buy-side consultant?

Are you dealing with a sell-side third party?

Is this a full or partial client acquisition?

Will this be an asset or stock purchase?

Is seller at your current broker dealer or custodian?

How many clients are being purchased?

How much AUM is being purchased?

How much revenue is being purchased?

What percentage of revenue is recurring?

What is the proposed purchase price?

How many months/years will seller stay on post-close?

Describe deal term structure basics:

AdvisorLoans | Application

Personal Financial Statement

Name:
Business Phone:
Home Address:
State:
Home Phone:
Business Name of Applicant:

Assets

Cash on Hand & in banks:
Savings Accounts:
IRA or Other Retirement Account:
Accounts & Notes Receivable:
Life Insurance Cash Surrender Value:
Stocks and Bonds:
Real Estate:
Automobiles:
Other Personal Property:
Other Assets:
Advisory Practice Value:
Total Assets:

Liabilities

Accounts Payable:
Notes Payable to Banks and Other:
Installment Account (Auto):
Installment Account (Other):
Loan(s) Against Life Insurance:
Mortgages on Real Estate:
Unpaid Taxes:
Other Liabilities:
Total Liabilities:
Net Worth:
Total Liabilities & Net Worth:

Source of Income

Salary:
Distributions:
Net Investment Income:
Real Estate Income:
Outside Business Activities:
Other Income:
Total Income:

Contingent Liabilities

As Endorser or Co-Maker:
Legal Claims & Judgments:
Provision for Federal Income Tax:
Other Debt:
Other Debt:
Other Debt:
Total:

Describe Other Income Above:
Describe Other Personal Property Above:
Describe Other Assets Above:
Detail all Unpaid Taxes: