



Quest Capital

Since 1983

Dear Investment Professional:

Thank you for your interest in Quest Capital Strategies, Inc. We are sure you will be pleased with your decision to join us as you learn about the many benefits we have to offer that separate us from other broker/dealers. To facilitate your completion of the necessary application and related paperwork, we will need your CRD information, as well as your complete employment history. To assist you, we would like to supply you with a copy of your previously filed Form U-4 from FINRA/CRD. In order to print your U-4, FINRA requires that we get your permission before accessing your data.

Please complete and sign this form and email (licensing@questcapital.com) or fax ((949) 457-1055 or (949) 421-0207 **without cover sheet**) it back to us. Please don't hesitate to contact us at (800) 433-0003 x 215 or 226 or 208 if you have any questions.

Upon receipt of the completed authorization form below, we will retrieve your prior U-4 from FINRA and review it. Pending approval, we will send you a License Transfer Kit. Please note that this review does not constitute a complete and comprehensive background check.

Sincerely,
Licensing Department
Quest Capital Strategies, Inc.

Dear Quest Capital:

I hereby grant Quest Capital permission to access my data file with FINRA/CRD for the purpose of reviewing my securities license registration(s). I also authorize FINRA to release copies of all filed Form U-5s, Form U-4s and any other relevant information about my licensing history in my file to Quest Capital Strategies, Inc.

Full Name (Print): _____ Day Phone#: _____

Mailing Address: _____

City: _____ State: _____ Zip: _____

E-Mail Address: _____

S.S#: _____ D.O.B (MM/DD/Year): ___/___/_____, CRD # (Optional): _____

Applicant Signature: _____ **Date:** _____

Internal Use

Name of Principal

Signature of Principal

Date

QUEST CAPITAL® STRATEGIES, INC.

Member FINRA & SIPC

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U4 Request Form v10.2015.1