



Date: \_\_\_\_\_

Name: \_\_\_\_\_

Position Applied For: \_\_\_\_\_

### Application Process Notice

Dear Applicant:

It is very important that you note the following with regard to completing your application for employment with E\*TRADE FINANCIAL Corporation. (“E\*TRADE FINANCIAL”):

- Completely fill out the application with ALL information requested regardless of attaching a resume. Please do not leave anything blank, or incomplete, as this will delay the hiring process. Please do not write “see resume” in employment section.
- Ensure that ALL information provided is accurate, as verification WILL occur during our fingerprint and background check process, including, but not limited to, education level attained, all dates as stated, previous employment, convictions, etc.

Thank you for your attention to detail, accuracy, and your consideration of E\*TRADE FINANCIAL as an employer!

**You are applying for a position in:**

- |   |  |   |
|---|--|---|
| <input type="checkbox"/> E*TRADE FINANCIAL Corporation        | <input type="checkbox"/> E*TRADE Brokerage Holdings, Inc | <input type="checkbox"/> E*TRADE Mortgage Corporation |
| <input type="checkbox"/> E*TRADE Clearing, LLC                | <input type="checkbox"/> E*TRADE Securities, LLC         | <input type="checkbox"/> E*TRADE Settlement Services  |
| <input type="checkbox"/> E*TRADE FINANCIAL Corporate Services | <input type="checkbox"/> E*TRADE Bank                    | <input type="checkbox"/> Other: _____                 |



**FINANCIAL<sup>®</sup>**

An Equal Opportunity Employer

## EMPLOYMENT APPLICATION

Thank you for your interest in E\*TRADE FINANCIAL. We are pleased that you chose to explore employment opportunities with our company. Please complete all sections of the employment application, regardless of whether you choose to include a copy of your resume. Note that the last page of the application requires your signature. Should your qualifications appear to match the requirements of any of our current openings, your application will be routed to the corresponding manager for further review. If an interview is appropriate, we will contact you.

If you wish to know more about E\*TRADE FINANCIAL you may visit our Internet site at [www.etrade.com](http://www.etrade.com).

Please print using blue or black ink

Name \_\_\_\_\_  
Last First Middle Other names known as

Physical Address \_\_\_\_\_  
Street Number and Name City State Zip

Mailing Address \_\_\_\_\_  
(If different from above) Street Number and Name City State Zip

Home Telephone (\_\_\_\_) \_\_\_\_\_ Business Telephone (\_\_\_\_) \_\_\_\_\_

Cell Phone (\_\_\_\_) \_\_\_\_\_ E-mail Address \_\_\_\_\_

Date \_\_\_\_\_ Social Security Number \_\_\_\_\_

How were you referred to E\*TRADE FINANCIAL?

- Advertisement     
  Employment Agency     
  E\*TRADE FINANCIAL Employee     
  Other

Please identify name of referral source: \_\_\_\_\_

NOTE: E\*TRADE FINANCIAL does not pay any fees to employment agencies or other third parties who may have contributed to this application, except by written agreement between E\*TRADE FINANCIAL and such party.

Are you applying for:

Regular full-time work?  yes  no

Regular part-time work?  yes  no

Temporary work, e.g., summer or holiday work?  yes  no

What days and hours are you available for work? \_\_\_\_\_

If applying for temporary work, during what period of time will you be available? \_\_\_\_\_

Are you available for work on weekends?  yes  no

Will you be available to work overtime, if necessary?  yes  no

If hired, on what date can you start work? \_\_\_\_\_

Salary desired: \_\_\_\_\_



## Personal Information

Have you ever applied to or worked for E\*TRADE FINANCIAL before?  yes  no  
If yes, when? \_\_\_\_\_

Do you have any friends or relatives working for E\*TRADE FINANCIAL?  yes  no  
If yes, state name(s) and relationship: \_\_\_\_\_  
\_\_\_\_\_

Why are you applying for work at E\*TRADE FINANCIAL?  
\_\_\_\_\_

Are you at least 18 years old?  yes  no  
(If under 18, hire is subject to verification that you are of minimum legal age.)

If hired, can you verify your legal right to work in this country within 3 days  
after your employment begins?  yes  no

Are you legally authorized to work in the United States?  yes  no

Will you now or in the future require sponsorship for employment visa status?  
(e.g., H-1b, TN, etc.)  yes  no

If you do require sponsorship for employment now or in the future, what is the  
remaining time (including extensions) available on your visa? \_\_\_\_\_

Are you able to perform the essential functions of the job for which you are applying,  
either with or without reasonable accommodation?  yes  no

(Note: We comply with the ADA and consider reasonable accommodation measures that may be necessary for eligible applicants/ associates to perform essential functions.)

Have you ever been convicted of a crime ?  yes  no

*(Do not respond concerning the following: arrests or detentions that did not result in conviction; referrals to, and participation in, any pretrial or post-trial diversion program; marijuana-related convictions more than two years old; convictions for which the record has been judicially ordered sealed, expunged, or statutorily eradicated; and misdemeanor convictions for which probation has been successfully completed or otherwise discharged and the case has been judicially dismissed.)*

If yes, state the nature of the crime(s), when and where convicted and disposition of the case.  
\_\_\_\_\_  
\_\_\_\_\_

A CONVICTION RECORD WILL NOT NECESSARILY BE A BAR TO EMPLOYMENT. Factors such as age at the time of the offense, type of offense and relevance to the job for which you are applying, seriousness and nature of the offense, and rehabilitation will be taken into account.

Are you currently employed?  yes  no

If so, may we contact your current employer?  yes  no

# Education, Training and Experience

## Education

Please specify if degree(s) are in progress or received.

Names and Locations of Schools	No. of Years Attended	Type of Degree or Diploma Received	Did You Graduate?
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Many of our customers (clients) do not speak English. Do you speak, write or understand any languages other than English that are relevant to the job for which you are applying?  yes  no

If yes, what languages? \_\_\_\_\_

Answer the following questions if you are applying for a professional position:

Are you licensed/certified for the job applied for?  yes  no

Name of License/Certification: \_\_\_\_\_

Issuing State: \_\_\_\_\_ License/Certification Number: \_\_\_\_\_

Has your license/certification ever been revoked or suspended?  yes  no

If yes, state reason(s), date of revocation or suspension and date of reinstatement.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

---

---

## Employment History

List below all present and past employment starting with your most recent employer (last five years is sufficient). Account for all periods of unemployment. You must complete this selection even if attaching a resume.

Name of Employer \_\_\_\_\_ Telephone (include Area Code) \_\_\_\_\_

Type of Business \_\_\_\_\_ Your Supervisor's Name \_\_\_\_\_

Street Address \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Dates of Employment: From: \_\_\_/\_\_\_/\_\_\_\_\_ to: \_\_\_/\_\_\_/\_\_\_\_\_ Salary: Starting: \_\_\_\_\_ Ending: \_\_\_\_\_

Your Positions and Duties \_\_\_\_\_

Reason for Leaving \_\_\_\_\_

May we contact this employer for a reference?  yes  no

Name of Employer \_\_\_\_\_ Telephone (include Area Code) \_\_\_\_\_

Type of Business \_\_\_\_\_ Your Supervisor's Name \_\_\_\_\_

Street Address \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Dates of Employment: From: \_\_\_/\_\_\_/\_\_\_ to: \_\_\_/\_\_\_/\_\_\_ Salary: Starting: \_\_\_\_\_ Ending: \_\_\_\_\_

Your Positions and Duties \_\_\_\_\_

Reason for Leaving \_\_\_\_\_

May we contact this employer for a reference?  yes  no

Name of Employer \_\_\_\_\_ Telephone (include Area Code) \_\_\_\_\_

Type of Business \_\_\_\_\_ Your Supervisor's Name \_\_\_\_\_

Street Address \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Dates of Employment: From: \_\_\_/\_\_\_/\_\_\_ to: \_\_\_/\_\_\_/\_\_\_ Salary: Starting: \_\_\_\_\_ Ending: \_\_\_\_\_

Your Positions and Duties \_\_\_\_\_

Reason for Leaving \_\_\_\_\_

May we contact this employer for a reference?  yes  no

Name of Employer \_\_\_\_\_ Telephone (include Area Code) \_\_\_\_\_

Type of Business \_\_\_\_\_ Your Supervisor's Name \_\_\_\_\_

Street Address \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Dates of Employment: From: \_\_\_/\_\_\_/\_\_\_ to: \_\_\_/\_\_\_/\_\_\_ Salary: Starting: \_\_\_\_\_ Ending: \_\_\_\_\_

Your Positions and Duties \_\_\_\_\_

Reason for Leaving \_\_\_\_\_

May we contact this employer for a reference?  yes  no

Name of Employer \_\_\_\_\_ Telephone (include Area Code) \_\_\_\_\_

Type of Business \_\_\_\_\_ Your Supervisor's Name \_\_\_\_\_

Street Address \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Dates of Employment: From: \_\_\_/\_\_\_/\_\_\_ to: \_\_\_/\_\_\_/\_\_\_ Salary: Starting: \_\_\_\_\_ Ending: \_\_\_\_\_

Your Positions and Duties \_\_\_\_\_

Reason for Leaving \_\_\_\_\_

May we contact this employer for a reference?  yes  no

## Military Service

Have you obtained any special skill or abilities as the result of service in the military?

yes  no

If so, describe:

---

## References

List below three persons not related to you who have knowledge of your work performance within the last three years.

Name: \_\_\_\_\_

Position: \_\_\_\_\_

Company: \_\_\_\_\_

Yrs. Acquainted: \_\_\_\_\_

Phone Number: \_\_\_\_\_

### Please read carefully, initial each paragraph and sign below:

\_\_\_\_\_ I hereby certify that I have not knowingly withheld any information that might adversely affect my chances for employment and that the answers given by me are true and correct to the best of my knowledge. I further certify that I, the undersigned applicant, have personally completed this application. I understand that any omission or misstatement of material fact on this application or on any document used to secure employment shall be grounds for rejection of this application or for immediate discharge if I am employed, regardless of the time elapsed before discovery.

\_\_\_\_\_ I hereby authorize the company to thoroughly investigate my references, work record, education and other matters related to my suitability for employment and, further, authorize the references I have listed to disclose to the company, any and all letters, reports and other information related to my work records, without giving me prior notice of such disclosure. In addition, I hereby release the company, my former employers and all other persons, corporations, partnerships and associations from any and all claims, demands or liabilities arising out of or in any way related to such investigation or disclosure.

\_\_\_\_\_ I understand that nothing contained in the application, or conveyed during any interview which may be granted or during my employment, if hired, is intended to create an employment contract between me and the company. In addition, I understand and agree that if I am employed, my employment is for no definite or determinable period and may be terminated at any time, with or without prior notice, at the option of either myself or the company, and that no promises or representations contrary to the foregoing are binding on the company unless made in writing and signed by me and the company's designated representative.

\_\_\_\_\_ I understand that employment with E\*TRADE FINANCIAL is subject to a National Association of Securities Dealers and FBI background check.

\_\_\_\_\_ I have read and understand all of the above.

---

Date

Applicant's Signature

# CONFIDENTIAL APPLICANT IDENTIFICATION RECORD - Voluntary Survey

E\*TRADE FINANCIAL Corporation and its subsidiary companies are equal opportunity employers. In recognition of our responsibility to our employees, clients, and community, E\*TRADE FINANCIAL affirms its policy to ensure fair and equal treatment in all of its employment practices for all persons. We will not discriminate on the basis of race, color, religion, sex, age, national origin or other prohibited factors, nor against any qualified disabled individual, disabled veteran or veteran of the Vietnam era.

E\*TRADE FINANCIAL is committed to valuing and managing the diversity of its workforce. To help us track our organizational success toward diversity, we ask your assistance in filling out this voluntary self-identification form. In addition to our internal tracking, E\*TRADE FINANCIAL must meet government record keeping and reporting requirements.

In support of these government requirements, we extend an invitation to all employees and job applicants to voluntarily and confidentially identify themselves.

**Completion of this form is voluntary, and will not affect your application for employment with E\*TRADE FINANCIAL or its subsidiary companies. This information will be kept in confidence and will not accompany your application to the prospective supervisors.**

Please contact the E\*TRADE FINANCIAL Human Resources Department if you have any questions.

**Please return this form to the Human Resources Department. The information you provide will be treated confidentially. Thank you.**

Name: \_\_\_\_\_ Date: \_\_\_\_\_

Position Applied For: \_\_\_\_\_

GENDER:  Male  Female

## RACE/ETHNIC ORIGIN

- AMERICAN INDIAN OR ALASKAN NATIVE** — persons with origins in any of the original peoples of North America and South America (including Central America), and who maintain tribal affiliation or community attachment.
- ASIAN** — persons with origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand and Vietnam.
- NATIVE HAWAIIAN OR OTHER PACIFIC ISLANDER** — persons having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.
- BLACK OR AFRICAN AMERICAN** — persons having origins in any of the black racial groups of Africa, not of the Hispanic origin.
- HISPANIC OR LATINO(A)**— persons of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish culture or origin, regardless of race.
- CAUCASIAN OR WHITE**— persons with origins in any of the original peoples of Europe, North Africa, or the Middle East, not of Hispanic origin.
- OTHER** (please specify):

## VETERAN STATUS

- VIETNAM ERA VETERAN** — a person who: (1) served on active duty for a period of more than 180 days, any part of which occurred in the Republic of Vietnam between February 28, 1961 and May 7, 1975 or, in all other cases, between August 5, 1964 and May 7, 1975, and was discharged or released with other than a dishonorable discharge; or (2) was discharged or released from active duty for a service-connected disability if any part of such active duty was performed in the Republic of Vietnam between February 28, 1961 and May 7, 1975 or, in all other cases, between August 5, 1964 and May 7, 1975.
- OTHER ELIGIBLE VETERAN** — A veteran who served on active duty during a period of war or in a campaign or expedition for which a campaign badge is authorized.
- I do not wish to complete this questionnaire