



**IARD Annual Renewal and Form ADV Part 1 Annual Amendment Engagement**

In the event that you would like to retain RIA Compliance Consultants, Inc. to assist you with the completion of the 2009 Annual Renewal Program and 2008 Form ADV Part 1 Annual Amendment, please complete the following information and return this form along with a check made payable to "RIA Compliance Consultants, Inc." in the amount of \$450.

**Note** - Engagements received after November 15 are subject to availability.

\*This service does not include the addition of IARs; the termination of IARs; disclosure events on Item 11 of ADV Part 1; IARD, State, IAR filing fees; or Form ADV Part II/Schedule F amendments. If requested, the addition or termination of IARs will be billed at a rate of \$150 per IAR.

Firm Name and CRD#: \_\_\_\_\_

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

Telephone# and E-mail Address: \_\_\_\_\_

Address, City, State, Zip: \_\_\_\_\_

CRD Username/Password: \_\_\_\_\_

Payment by Credit Card. If you would like to pay via credit card, please contact Annie Dilocker at 877-345-4034, extension 100, with your credit card information, or we will contact you to attain the necessary information. A \$30 service charge will apply to all credit card transactions.

Payment by Check. Payment should be made payable to "RIA Compliance Consultants, Inc." and included with this form. Send payment to 209 S. 19<sup>th</sup> Street, Suite 640, Omaha, NE 68102.

The advance payment will be kept in our firm's client retainer account. Upon completion of the 2009 Annual Renewal requirement, the first half of this advance payment will be released from the client retainer account and applied against the consulting fee. The second half of the advance payment will be released from the client retainer account and applied against the consulting fee upon presentment of the firm's Form ADV Part 1 Annual Amendment draft.

Client agrees to the terms of engagement as set forth above.

On \_\_\_\_\_, 2008:

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Print Name