IMPORTANT DISCLOSURE

This Client File Review Form is provided to you on a complimentary basis with no warranty. It is a sample client file review form for an investment adviser.

This sample client file review form has **not** been customized to your investment adviser's business model, the specific investment advisory rules of your investment adviser's securities regulator or your investment adviser's written supervisory procedures and code of ethics. This sample client file review form may not be applicable or appropriate for your investment adviser. You should not consider this sample client file review form as an exhaustive, comprehensive or definitive list of the items necessary to meet your investment adviser's obligations under the applicable investment adviser laws and rules.

This sample client file review form is not intended to detect or prevent fraud, selling away, Ponzi schemes, undisclosed outside business activities, inaccurate or false fee calculations, theft, misappropriation or unlawful conversion of client funds.

Due to changes of investment adviser laws and rules, this sample client file review form may become outdated and need to be updated or discontinued.

Since this sample client file review form may not reflect the specific investment advisory requirements of your securities regulator, please check with the securities regulator(s) with jurisdiction over your investment adviser before using this review form.

This sample client file review form is not a substitute for retaining a compliance professional to advise and assist you regarding your investment adviser's compliance program.

Unless otherwise agreed to in writing, you understand that you have not engaged RIA Compliance Consultants, Inc. in a consulting relationship by merely utilizing this complimentary form. Additionally, you understand that unless otherwise agreed to in writing, RIA Compliance Consultants, Inc. is not responsible for customizing this sample client file review form, implementing the use of this sample client file review form, updating the sample client file review form, preparing your investment adviser's written supervisory procedures or code of ethics, or notifying you of changes to the investment advisor laws and rules.

Client File Review Form

(Firm Name)

Client Name:			
Client Number and/or Account Number:			
Date Client Agreement Fully Executed:			
Date Disclosure Document Provided:			
Date Fee Schedule Executed:			
Date New Account Established:			
Account Statements Available:			
Performance and/or Position Reports Available:			
All New Account Forms Available?:			
Has Client been contacted to review/update objectives/suitability in last year?:			
File Contains Notes/Correspondence:			
*Describe Contents of File:			

Deficiencies & Action Steps Needed:			

Client Name:			
Client Number and/or Account Number:			
Date Client Agreement Fully Executed:			
Date Disclosure Document Provided:			
Date Fee Schedule Executed:			
Date New Account Established:			
Account Statements Available:			
Performance and/or Position Reports Available:			
All New Account Forms Available?:			
Has Client been contacted to review/update objectives/suitability in last year?:			
File Contains Notes/Correspondence:			

***Describe Contents of File:**			
Deficiencies & Action Steps Needed:			

*Correspondence, letters of instruction, copies of checks, copies of any reports provided to client**, copies of monthly and quarterly brokerage, MF and VA statements