

Form	Last Updated	Price	Value	Bronze	Silver	Gold	Platinum
Advertising/Marketing Review Form	Nov. 2016	\$25	✓	✓	✓	✓	✓
Annual Compliance Calendar Checklist	Nov. 2016	\$150	✓	✓	✓	✓	✓
Books and Records Documentation Log and Suggested List of Compliance Files and Reports	Dec. 2016	\$75	✓	✓	✓	✓	✓
Branch Office Review - IA Checklist	Jul-17	\$300					✓
Broker-Dealer Best Execution Evaluation Form	Nov. 2016	\$75	✓	✓	✓	✓	✓
Broker-Dealer (Commission) v. RIA (Fee) Account - Client Acknowledgement	Apr-17	\$150			✓	✓	✓
Checks Received & Checks Forwarded Log	Jul-17	\$25	✓	✓	✓	✓	✓
Client Acknowledgement that Rep's Trustee Services Are Outside of Investment Adviser Firm	Jul-17	\$250					✓
Client Acknowledgement - Fixed Indexed Annuity Recommendation Is an Outside Activity	Jul-17	\$250			✓	✓	✓
Client Acknowledgement of Excessive Withdrawals from a Retirement Account	Jul-17	\$250					✓
Client Authorization for Electronic Delivery of Documents	Jul-17	\$150			✓	✓	✓
Client Authorization to Release Copy of Client Records to Departing Representative	Jul-17	\$200			✓	✓	✓
Client Complaint - Acknowledgement of Receipt	Jul-17	\$85				✓	✓
Client Complaint - Letter to Rep Requesting Explanation	Jul-17	\$200				✓	✓
Client Complaint – File Checklist	Jul-17	\$150				✓	✓
Client Complaint Log	Jul-17	\$50	✓	✓	✓	✓	✓
Client Complaint Summary	Jul-17	\$100				✓	✓
Client Letter - Assignment of Client Agreement to New Firm (Started by Reps at Old Firm) - No Response	Jul-17	\$200					✓
Client Letter - Change of Controlling Ownership - Client Written Response Required	Jul-17	\$200					✓
Client Letter - Confirming Accounts & Objectives	Jun-17	\$175				✓	✓
Client Letter - Confirmation of Assignment of Advisory Agreement after Initial 60 Day Notice	Jun-17	\$100					✓
Client Letter - Confirming Rep Term & Release of Info to New Firm	Jun-17	\$200					✓
Client Letter - Death of Former Owner - New Owner - No Response Consent	Jun-17	\$200					✓
Client Letter - Existing Rep Termination & New Successor Rep	Jun-17	\$200					✓
Client Letter - Internal Sale - 60 Day Notice - No Response Consent	Jul-17	\$200					✓

Client Letter - New Procedure – 12 Month Look for Back for Valuing Private Investment Funds	Jul-17	\$250						✓
Client Letter - Notifying of Firm's ADV-W	Jun-17	\$200						✓
Client Letter - Notifying Termination of Services & Waiver of Notice Period	Jun-17	\$200						✓
Client Letter - Rep Starting New Firm, Dual IAR Registration I	Jun-17	\$250						✓
Client File Review Form	Dec. 2016	\$25	✓	✓	✓	✓		✓
Client Meeting Notes & Checklist	Jul-17	\$125	✓	✓	✓	✓		✓
Code of Ethics Acknowledgement Form	Dec. 2016	\$75	✓	✓	✓	✓		✓
Code of Ethics Client Request/Delivery Log	Dec. 2016	\$25	✓	✓	✓	✓		✓
Common Duties for CCO for New RIA Firm - Compliance Calendar & Suggested Files	Jun-17	\$150	✓	✓	✓	✓		✓
Compliance Violations Reporting Form	Dec. 2016	\$150	✓	✓	✓	✓		✓
Compliance Manual Acknowledgement Form	Dec. 2016	\$150	✓	✓	✓	✓		✓
Compliance Training/Meeting Attendance Sign-in Form	Dec. 2016	\$25	✓	✓	✓	✓		✓
Conflicts of Interest Log	Jun-16	\$25			✓	✓		✓
Customer Privacy Policy Notice (Sample)	Dec. 2016	\$150	✓	✓	✓	✓		✓
Customer Privacy Policy Notice Request/Receipt Log	Dec. 2016	\$25	✓	✓	✓	✓		✓
Cybersecurity Best Practices Checklist	May-17	\$250						✓
Cybersecurity – Cleaning Company Acknowledgement – Background Checks	May-17	\$200						✓
Cybersecurity – Conducting Due Diligence of Cloud Computing Service Providers	May-17	\$200						✓
Cybersecurity - Employee Acknowledgement	May-17	\$50						✓
DoL Fiduciary Rule - Letter to DoL Re: Intent to Rely upon Best Interest Contract Exemption	Jul-17	\$65			✓	✓		✓
Due Diligence (Ongoing) Questionnaire for Signal/Model Provider's Compliance Program	Jun-17	\$250				✓		✓
Due Diligence (Ongoing) Questionnaire for Sub-Adviser's Compliance Program	Jun-17	\$250				✓		✓
Due Diligence (Ongoing) Questionnaire for Third-Party Money Manager Compliance Program	Jun-17	\$250				✓		✓
Electronic Delivery of Documents - Client Authorization	Jun-17	\$200	✓	✓	✓	✓		✓
Fee Audit Review Form	Dec. 2016	\$75	✓	✓	✓	✓		✓
(Sample) Fee Invoice Statement	Jun-17	\$125			✓	✓		✓
Form ADV Annual Offer Letter	Dec. 2016	\$150	✓	✓	✓	✓		✓
Form ADV Request/Receipt Log	Dec. 2016	\$25	✓	✓	✓	✓		✓
Form ADV Revisions Log	Dec. 2016	\$25	✓	✓	✓	✓		✓
Gifts and Entertainment Reporting Form	Dec. 2016	\$150	✓	✓	✓	✓		✓

Gifts and Entertainment Log	Dec. 2016	\$25	✓	✓	✓	✓	✓
Insider Trading – Annual Questionnaire of Firm’s Supervised Person’s Affiliation with Public Companies	Jun-17	\$150				✓	✓
Investment Adviser Representative Annual Questionnaire	Jun-17	\$200				✓	✓
Lost Client Form	Dec. 2016	\$25	✓	✓	✓	✓	✓
Lost Client Form Log	Dec. 2016	\$25	✓	✓	✓	✓	✓
Non-Access Person Acknowledgement Form	Jun-17	\$200					✓
Outside Business Activity Reporting Form	Nov. 2016	\$225	✓	✓	✓	✓	✓
Permission to Disclose Personal Info on Behalf of Client	Nov. 2016	\$150	✓	✓	✓	✓	✓
Personal Securities Transactions Form: Brokerage Account Disclosure Form	Jun-17	\$75	✓	✓	✓	✓	✓
Personal Securities Transaction - Pre-Clearance Form	Jun-17	\$75	✓	✓	✓	✓	✓
Personal Securities Transactions Form: Annual/Initial Personal Securities Holding Report	Jun-17	\$75	✓	✓	✓	✓	✓
Personal Securities Transactions Form: Quarterly Personal Securities Transaction Report	Jun-17	\$75	✓	✓	✓	✓	✓
Personal Securities Transactions Form: Personal Securities Trading Request Form	Jun-17	\$75	✓	✓	✓	✓	✓
Personal Securities Transactions Form: Letter to Request Duplicate Confirmations & Statements	Jun-17	\$75	✓	✓	✓	✓	✓
Political Contributions Reporting Form	Nov. 2016	\$150	✓	✓	✓	✓	✓
Political Contributions Log	Nov. 2016	\$25	✓	✓	✓	✓	✓
Private Equity Risk Disclosure	Jun-17	\$295	✓	✓	✓	✓	✓
Professional Designation Reporting Form	Nov. 2016	\$150	✓	✓	✓	✓	✓
Recommending FIA in lieu of SMA in Retirement Account - Client Acknowledgement	Jun-17	\$250			✓	✓	✓
Rep Letter - Notification of Termination	Jun-17	\$200					✓
Rep Termination Checklist	Jun-17	\$200					✓
Retirement Plan Rollover – Client Acknowledgement	Jan-17	\$300			✓	✓	✓
Risk Tolerance Questionnaire for Clients	Jan-17	\$150	✓	✓	✓	✓	✓
SEC Exam – Sample Letters Requesting Confidential Treatment under FOIA	Jun-17	\$250					✓
Social Media Review-Approval Form	Nov. 2016	\$75	✓	✓	✓	✓	✓
Solicitor Annual Questionnaire - Affiliated and Licensed	Jun-17	\$200				✓	✓
Solicitor Annual Questionnaire - Affiliated and Unlicensed	Jun-17	\$200				✓	✓
Solicitor Annual Questionnaire - Unaffiliated and Unlicensed	Jun-17	\$200				✓	✓
Text Messaging Permitted	Jun-17	\$250		✓	✓	✓	✓
Trade Error Documentation Form	Nov. 2016	\$25	✓	✓	✓	✓	✓

Trade Error Log	Nov. 2016	\$25	✓	✓	✓	✓	✓
Vulnerable Clients – Client Authorization to Communicate with Trusted Emergency Contact	Jun-17	\$95			✓	✓	✓
Whistleblower Complaint/Tracking Reporting Form	Nov. 2016	\$25	✓	✓	✓	✓	✓
Wrap vs. Non-Wrap Account - Client Acknowledgement	Jun-17	\$250			✓	✓	✓