

## SOLICITOR'S ANNUAL ATTESTATION

I hereby represent and warrant for the benefit of [Insert name of Adviser Firm] ("the Adviser") as follows:

1. In making presentations to prospective clients of Adviser, I have used only those marketing materials that have been approved by Adviser;
2. In connection with any solicitation of clients for Adviser, I have, at the time of the first solicitation of a person to be a client of Adviser, delivered to such prospect (a) a copy of the most recent Form ADV Part 2A of Adviser that I received from Adviser and (b) a copy of the Solicitor's Disclosure Statement that I received from Adviser.
3. In connection with any solicitation I made on behalf of the Adviser to any prospective client, I have not made any misstatement of a material fact about the Adviser, its services and/or performance, and I have not omitted to state any material fact required to be stated or necessary to make the statements I made about the Adviser, its services and/or performance, not misleading.
4. I have not published any advertisements or mailed any letters or sales literature describing Adviser's investment advisory services, without the prior written approval of Adviser.
5. I am not subject to any order of the SEC.
6. I have not been convicted within the previous ten years of any felony or misdemeanor.
7. I am not subject to any order, judgment or decree of any judicial body, governmental agency or securities self-regulatory organization.
8. With respect to any client I referred to Adviser that is an employee benefit plan covered by the Employee Retirement Income Security Act of 1974 ("ERISA"), I am not a trustee or a fiduciary of such plan (within the meaning of ERISA) or an employer of any employee covered by such plan.
9. I am not presently being investigated by the SEC or FINRA or any state regulatory agency.
10. No one has filed a claim against me for violation of federal or state securities laws.
11. I have not shared any part of any compensation I received pursuant to the Solicitor's Agreement I have with Adviser with any other person other than my broker-dealer and any co-solicitor without prior written consent of Adviser.
12. I have not collected or received payment in my own name for any services provided by Adviser to a client I referred to Adviser.
13. In soliciting clients for Adviser, I have complied with Adviser's instructions and all applicable law, including, without limitation, the provisions of the Investment Advisers Act of 1940, as amended, and the rules thereunder.

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

Signed: \_\_\_\_\_

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