

SWORN AFFIDAVIT

I, _____, complete this form and provide it with the understanding that it serves as a sworn affidavit.
(NAME)

Under penalty of perjury, I understand that any falsehoods herein, misrepresentations, or acts of omission represent a willful criminal act and that it will be prosecuted to the fullest extent of the law. The charges and fees detailed below are accurate as of the date of inception of the current Financial Advisor relationship, dated _____ to a period of 5 years following, dated _____, and reflect payments, fees, commissions, or other forms of compensation accepted by myself or my firm for services and sales rendered.

Charge, Fee, or Service	Payment, Fee, or Commission in First Year of Use	Payment, Fee, or Commissions in Years 2-5 (assuming no change in asset value)	Total Payment, Fee, or Commissions paid in Years 1-5 of this Product or Service
Financial Planning Fee	\$	\$	\$
Investments Sold on Commission	\$	\$	\$
Investments Managed on a Fee Basis	\$	\$	\$
Life Insurance Policies	\$	\$	\$
Disability Policies	\$	\$	\$
Long Term Care Policies	\$	\$	\$
Annuities	\$	\$	\$
Alternative Investments or Insurance Products	\$	\$	\$
12b-1 Fees	\$	\$	\$
Back-End Fees	\$	\$	\$
Wrap, Platform, and Sponsor Fees	\$	\$	\$
Surrender Charges	\$	\$	\$
Contingent Deferred Sales Charges	\$	\$	\$
Sales Prizes	\$	\$	\$
Soft-Dollar Benefits	\$	\$	\$
Performance Compensation	\$	\$	\$

Note to Client: Estimated commissions and fees do not include commissions and fees that might be payable to non-affiliated third parties as a result of the purchase of financial products or services. These commissions and fees may be substantial. You are strongly advised to seek full disclosure of fees and commissions when purchasing financial Products or services. For the definition of the fees above and third party fees, review the glossary on the reverse side of this form.

Financial Advisor (Signature)

Date

Financial Advisor Supervisor, Principal, Broker, or OSJ

Date

Glossary

Financial Planning Fee: A fixed, hourly, retainer, subscription, or other fee charged exclusively for the development, implementation, and/or ongoing management of a financial plan.

Investments Sold on Commission: Includes Class A, B, and C Mutual Funds, Unit Investment Trusts, Stocks, Bonds, Exchange Traded Funds, Structured Notes, Non-Traded REITs, and other assets bought, sold, or traded for a sales charge or brokerage commission.

Investments Managed on a Fee Basis: Any account in which an investment advisory fee is charged to clients, including Turnkey Asset Management Platforms, Separately Managed Accounts, and Unified Managed Accounts.

Life Insurance Policies: Term, whole life, universal life, and variable policies purchased for a death benefit, with or without living benefits and/or riders attached.

Disability Policies: Any form of disability income policy or rider attached to another product or policy.

Long Term Care Policies: Any form of Long Term Care (LTC) policy or rider attached to another product or policy.

Annuities: Including Fixed, Indexed, and Variable policies, their riders, caps, participation rates, and contract fees.

Alternative Investments or Insurance Products: Including private businesses, partnerships, annuities, futures, options, or contracts in the form of a security.

12b-1 Fees: Any fees charged by funds or products classified under the Investment Advisers Act of 1940 for the marketing, service, and distribution of investments.

Back-End Fees: Including deferred sales charges, maintenance fees, or other expenses.

Wrap, Platform, and Sponsor Fees: Any fees charged by a platform, custodian, broker/dealer, or registered investment adviser to encompass the operational, reporting, recordkeeping, and trading costs of an investment account.

Surrender Charges: Charges incurred by the surrender, withdrawal, transfer, or other use on a Life or Annuity Insurance contract.

Contingent Deferred Sales Charges: Charges incurred by the early redemption, trading, or liquidation of an investment or insurance product.

Sales Prizes: Compensation received by the financial advisor, their team, office, or firm, paid by their firm or a third party as an incentive for revenue, sales, production, or other goals in conjunction with the sale of services. May include awards of plaques, awards, jewelry, cash, reimbursed or paid for trips, and other perks such as travel, meals, event expense reimbursement, and other forms of compensation.

Soft-Dollar Benefits: Reduced or eliminated trading, research, technology, or other costs paid for by excess commissions generated in the process of using a particular service, custodian, or other service provider for client accounts.

Performance Compensation: Bonuses, commissions, or other compensation paid to the financial advisor, their team, office, or firm for meeting particular quotas or goals.

Third Party Fees: Including but not exclusively, Premium Loads/Sales Charges, Administration Fees, Mortality and Expense Risk Charges, Cost of Insurance, Insurance Riders, Monthly per thousand charges, Fund Management Fees, Fund Expense Ratios, Subaccount Fees, Participation Rates, Cap-on-Return Limits, Transaction and/or Trade Fees, Annual Account or Custodial Fees, Recordkeeping Fees, Transaction Fees, Redemption Fees, Account Opening Fees, Account Closing Fees, Account Transfer Fees, In-Activity Fees, Research and Data Subscription Fees, Paper Statement Fees.