

Disclosure Checklist

Please include this checklist with all CLIC paperwork submissions.

(Not required if you used DocuSign and Cambridge disclosures and analysis (if applicable) are attached or if you list the disclosures provided to client on Routing Slip.)

Client Name: _____

Account Number: _____

Trade Key: _____

What disclosures were provided to client? Check all that apply.

___ **CRS** (Cambridge CRS and/or CIRA CRS) - New commission or advisory accounts (includes direct or financial planning). Recommendations of rollover or new service to existing account. Must be first document provided to client.

___ **Reg BI** - New or existing commission accounts. One time only.

___ **ADV Part II A** - New advisory client.

___ **ADV Part II B** - New advisory client.

___ **BIA** - New commission or advisory account, transfer/rollover qualified existing account, prefix change CMAP. Some exceptions apply. *Webcapture* for supervision.

___ **Investment Analysis** (RightBRIDGE Wizard or outside vendor analysis form) - Qualified account rollovers or transfers. Best practice for all other accounts.

___ Analysis added to client file.

___ **Other disclosures** required for account have been *webcaptured* with paperwork such as Investment Exchange Disclosure, Annuity Disclosure, etc.

Additional notes for OSJ Supervisor: