



Testimonial Submission Form

SEC Marketing Rule 206(4)-1 A statement from a current client that endorses the financial professional or refers to that client's favorable experience with the professional is a testimonial, and can be permitted using these guidelines.

The testimonial provider cannot:

- Have a personal or familial relationship with the financial professional or any member of the professional's office; or
- Receive or expect compensation, either direct or indirect, for providing the testimonial.

The language in the testimonial must be accurate and must meet content standards, summarized below

Testimonial Content Standards

Permitted

- Those broadly discussing the professional experience and knowledge and acumen of the financial professional.
- Those noting the availability, responsiveness, accessibility, receptiveness, level of engagement, and overall interest in the client's questions and concerns.
- Those noting the client's satisfaction with the courtesy and general customer service of the financial professional and/or staff.
- Those noting the client's sense of comfort with the financial professional's personal friendliness.

Not Permitted

- Those containing statements that are clearly false (even unintentionally) or can reasonably be interpreted as misleading, exaggerated, unbalanced, promissory, or generally inappropriate.
- Those recommending or otherwise emphasizing the merits or advantages of any particular investment/financial advice or plan, investment model, investment allocation, or financial product or service.
- Those stating or implying that the financial professional's actions, knowledge, track record, or methodology did or will lead to gains, profits, or superior returns for the testimonial provider and/or for any past, current, or future client.
- Those stating or implying (negative or positive) comparisons of the financial professional and/or the firm with other financial professionals and/or firms.
- Those that name others who have not consented to the use of their names in the testimonial.

Client's Name: _____

Client's Job Title / Occupation: _____

Please Initial Below:

_____ I confirm that I am a current client

_____ I confirm that I have given consent to the use of my/our name(s) in association with this testimonial on marketing materials and have approved the language.

_____ I confirm that no compensation, whether monetary or otherwise, was paid in exchange for this testimonial.

_____ I confirm there was no quid pro quo in exchange for this testimonial.

_____ I confirm that there is not a familial or personal relationship with the giver of the testimonial that would result in a conflict.

Enter Testimonial: Please use the back of this form if additional space is needed.

Client Signature: _____

Date: _____