LEVEL FOUR Advisory Services LEVEL FOUR Financial

2022 Tasks for LFAS/LFF reps

INITIAL

LFAS

Orion Onboarding:

Onboarding associates are required to complete acknowledgments via Orion that they have:

- Reviewed, understand, and agree to abide by the firm's Compliance Procedures
- Disclosure of their Outside Activities (Accounts, Business, Political contributions etc.)
- Reviewed and understand and agree to abide by the firm's Code of Ethics

LFF

Onboarding:

- Account disclosures, outside business activities, and political contributions are disclosed to the firm in the initial registration packet.
- WSP are emailed to all new associates during the onboarding process
- Training on Raymond James and Firm Policies and Procedures is scheduled during the onboarding process.

Daily

LFF

Check Deposits:

When a client check is received at your office for deposit into a Raymond James client account, there are two options:

Self-Deposit:

1. Scan and complete your deposit via Advisor Access > My Client > Money & Security Movement > Check Deposit (Check must be deposited in its original form, as received in the mail)
2. Print the RJ Deposit Confirmation
3. Date stamp check with date received (Do NOT write on the check until after it is scanned into the system)
4. Make a back and front copy of the check
5. Complete the LFF Daily Check Blotter (located in LFF EOM packet)
6. Send all documents to admin@levelfourfinancial.com at the end of the business day for Branch Manager Review.

Overnight Checks to Raymond James for Deposit:

1. Enter the information under Advisor Access > My Clients > Money & Security Movement > Check Deposit
2. Print the check in transit confirmation
3. Date stamp check with date received
4. Make a back & front copy of the check
5. Complete the LFF Daily Check Blotter (located in LFF EOM packet)
6. Create a form of overnight delivery label with a tracking option through UPS, FedEx or USPS
7. Overnight the check and copy of the RJ Check in transit confirmation to Raymond James at 880 Carillon Parkway, St. Petersburg, FL 33716
8. Send copies of all of the above to admin@levelfourfinancial.com for Branch Manager Review
9. Verify receipt of the following day and note in the LFF Daily Check Blotter

2022 Tasks for LFAS/LFF reps

Check received for deposit into Direct Accounts held at the Fund Company:

1. Date stamp check with date received
2. Make a back & front copy of the check
3. Complete the LFF Daily Check Blotter (located in LFF EOM packet)
4. Create a form of overnight delivery label with a tracking option through UPS, FedEx, or USPS
5. Overnight the check to the Fund Company
6. Send copies of all of the above to admin@levelfourfinancial.com for Branch Manager Review
7. Verify receipt of the following day and note in the LFF Daily Check Blotter

Important Reminders

***Do NOT hold checks overnight**

***Do NOT accept checks made out to the Advisor DBA, Advisor or LFF**

Checks should be made out to Raymond James

***Checks must be sent Overnight and a Tracking Number must be recorded**

Monthly

LFF

End of Month Report:

LFF requires each rep to submit an End of Month Report. Due by the 10th of the following month (i.e., January EOM is due on February 10th). Reps need to complete the LFF End of Month report via the JotForm on the firm's Intranet in the Compliance/Representative Resources section. Additionally, where applicable, the following information should be emailed to admin@levelfourfinancial.com for branch manager review at the start of each month for the previous month:

- Securities Received Log
- Client Correspondence

Quarterly

LFAS

RIA - LFAS Quarterly Compliance Webinar (LFAS IARs)

- Required for all persons registered with Level Four Advisory Services. Save the date and link to GoTo Meeting are sent out several weeks ahead of the meeting.

ANNUALLY

LFAS/LFF

ADV Offer Letter to RIA Clients (LFF and LFAS RIAs)

ADV offer letters are mailed to all RIA managed account clients at the end of April.

RIA Annual Reviews

The automated Advisory Account Review Form LF169 (LFAS) needs to be completed by the IAR at least once every 12 months for all managed accounts. LF169 (jotform.com).

2022 Tasks for LFAS/LFF reps

LFF

BD - Quest – Annual Attestation (All LFF Reps)

Annual Attestations are sent out on during the 4th quarter. Each Registered Representative will have 10 days to complete it. Includes attestations relating to the firm's Written Supervisory Procedures and an individual's Outside Accounts, Private Securities Transactions and Outside Business.

Quest – Continuing Education (LFF Reps)

Firm Element Continuing Education will be assigned during the 3rd quarter via Quest. Instructions on how to complete this training will be sent to each Registered Representative via email.

BD - Annual Compliance Meeting (LFF Reps)

Level Four or LFF Financial will send out a "Save the Date" for the 2021 Annual Compliance Meeting which typically takes place during September. All Registered Representatives are required to attend the Annual Compliance Meeting or attend a make-up session or recording promptly following the live meeting.

LFAS

RIA - Orion – Annual Attestation (All LFAS IARs)

Annual Attestations are sent out during the 4th quarter via Orion. Each IAR with LFAS is required to complete within 2 weeks of receipt. Includes attestations relating to the firm's Compliance Manual and an individual's Outside Accounts, Private Securities Transactions and Outside Business.

PERIODICALLY

As Applicable, the following require pre-approval:

- Political Contributions
- Outside Business
- Private Securities Transactions
- Professional Designations
- Gifts and Entertainment

LFAS requirements: Report through Orion Inform dashboard/ Open Tasks/Add New

LFF requirements:
The following require disclosure ASAP:

- Address Change
- Name Change
- Bankruptcy
- Lien/Judgment/Settlement with Creditor
- Notice of Regulatory Investigation and/or Action
- Arrest (Misdemeanor or Felony)

LFAS/LFF requirements: Forward notification to registrations@levelfourfinancial.com