

	Service Standard
<b>General Inquiries</b> *includes Practice Units, Business Units and Corporate Departments	Staff will respond by phone or email within <b>1 business day</b> . If additional time is required to complete/answer an inquiry, a status update will be provided within 1 day.
<b>Client Interactions</b>	Business unit staff will respond to retail clients within <b>1 business day</b> . Phone calls from clients should be returned as soon as possible.
<b>New Accounts Processing</b>	LFF applications and FPA's will be processed within <b>2 business days</b> of receipt. If additional information is needed, staff will receive follow up questions within <b>2 business days</b> .
<b>Complex Accounts or NIGO</b>	Additional time may be required for more complex accounts. Any applications received NIGO (not in good order) will require follow-up and additional time to process.
<b>LFIA - Level Four Insurance Agency</b>	
<b>New Business, including Annuity Order Entry</b>	Applications received prior to 1 pm (Central) and in good order will be entered the same day. Apps received after 1 pm will be processed no later than noon the next business day.
<b>Case Management</b>	Case status notifications will be sent on a weekly basis
<b>Contracting and Licensing</b>	Contracting approval status will be sent every 3 business days if pending business. Every 5 days if not pending business.
<b>LFCM - Level Four Capital Management</b>	
<b>Trade Deadline</b>	Trade requests should be submitted no later than <b>2:00 PM CST</b> in order to ensure same-day execution of the trade. Requests received after this time will be accommodated on a best-case effort. Requests include: cash raises, rebalance requests. No trades are accepted via email or voicemail.
<b>Compliance &amp; Legal</b>	
<b>Legal</b>	Legal inquiries will receive a response within <b>one business day</b> that will provide an estimated time to completion.
<b>Compliance – General Questions</b>	These inquiries should be addressed to your branch manager. They will identify the correct compliance personnel to address your request and will respond to you within <b>one business day</b> .
<b>Compliance – Branch Examinations</b>	Examination reports will be provided to the branch within <b>thirty days</b> of the examination date (except where extensive post examination reviews are necessary).
<b>Compliance – Letters to Clients</b>	Compliance will provide Advisors at least <b>three business days</b> advance notice prior to any letter being sent to their client (with the exception of certain time sensitive matters or requests involved in a compliance or regulatory inquiry that do not allow for prior Advisor notification).
<b>Compliance – Outside Business Activity Requests</b>	Requests will be responded to within <b>two business days</b> (except where extensive post examination reviews are necessary)
<b>Licensing and Registration</b>	Staff will respond by phone or email within <b>one business day</b> . If additional time is required to complete/answer a registration or license application, a status update will be provided.
<b>Marketing</b>	Requests will be responded to or be processed within two business days, depending on complexity. Escalation may be requested. If additional information or time is needed, it will be communicated. (If changes are necessary or follow up questions required, final product may take additional time). *questions/requests submitted through <a href="mailto:Advisorsupport@levelfourfinancial.com">Advisorsupport@levelfourfinancial.com</a> are preferred
<b>Accounting</b>	Accounting inquiries will receive a response within one business day that will provide an estimated time to completion.
<b>IT Help Desk</b> *Level Four Employees only	IT ticket requests will be responded to within the day. Resolution of issues will vary depending on the nature of the problem.
<b>Human Resources</b> *Level Four Employees only	Staff will respond by phone or email within 1 business day. If additional time is required to complete/answer an inquiry, a status update will be provided within 1 day.