



INDEPENDENT RIA OUTSIDE BUSINESS ACTIVITY DISCLOSURE

Securities regulations (FINRA Rule 3270) require PCS registered representatives to disclose and receive approval of all outside business activities prior to engagement. An Independent RIA qualifies as an outside business activity and must be disclosed and approved by the broker-dealer.

For the review to be completed, please fill out all information requested below as well as supply the additional documentation requested at the bottom of this disclosure form. PCS will not approve the RIA activity unless the requested information is supplied prior to, or at the time of this disclosure.

All submissions will be reviewed, and written notice of approval or denial will be supplied to you by the Compliance Department via Docupace or email.

PCS Representative Information:		
Name:	PCS Rep #:	
Disclosure Type: <input type="checkbox"/> New RIA <input type="checkbox"/> Update <input type="checkbox"/> Cancellation Effective Date: _____		
Name of RIA:		
Address of RIA:		
What date was the RIA approved by the SEC? _____ Registration Type: <input type="checkbox"/> SEC <input type="checkbox"/> State: _____ How many years have you been providing advisory services to clients? _____ How many advisory clients do you currently service? _____ Approx. AUM: _____ Do you hold any position other than as an IAR with this RIA? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes please provide below: _____		
Please select the types of services provided by the RIA:		
<input type="checkbox"/> Financial Planning <input type="checkbox"/> Investment Management <input type="checkbox"/> SMA (Separately Managed Accounts) <input type="checkbox"/> TPAM (Third Party Asset Management) <input type="checkbox"/> Model Portfolios <input type="checkbox"/> Portfolio Management Discretion <input type="checkbox"/> Other: _____		
Compensation (Select all that apply):		
<input type="checkbox"/> Advisory Fees (AUM) <input type="checkbox"/> Advisory Fees (Hourly Rate) <input type="checkbox"/> Salary <input type="checkbox"/> Other: _____		
Number of hours/month:	Number during trading hours:	Email address used for activity:
<ul style="list-style-type: none"> ➤ Is there check-writing, trading authority, custody, or control authority with your role/duties? <input type="checkbox"/> Yes <input type="checkbox"/> No ➤ Are you the registered representative on any brokerage side investment accounts for the RIA? <input type="checkbox"/> Yes <input type="checkbox"/> No ➤ Does the firm use a DBA (marketing name) for your RIA? <input type="checkbox"/> Yes <input type="checkbox"/> No ➤ Do you understand that you may not ask your clients, other individuals, or businesses to invest in your business without prior written approval from PCS? <input type="checkbox"/> Yes <input type="checkbox"/> No ➤ Website URL: _____ ➤ Are you an owner of this RIA? If so, please provide ownership level: _____% <input type="checkbox"/> Yes <input type="checkbox"/> No ➤ Do you intend to solicit other ownership or raise capital for this entity? <input type="checkbox"/> Yes <input type="checkbox"/> No ➤ Are you subject to any formal or informal agreement or arrangement requiring you to turn over or share securities commissions to this business? <input type="checkbox"/> Yes <input type="checkbox"/> No ➤ Will the activity of your RIA interfere or compromise your responsibilities to PCS or broker-dealer side customers? <input type="checkbox"/> Yes <input type="checkbox"/> No ➤ Could the RIA activity listed above be viewed by customers or the public as part of PCS business? <input type="checkbox"/> Yes <input type="checkbox"/> No ➤ Have you received any customer complaints related to your RIA business? <input type="checkbox"/> Yes <input type="checkbox"/> No 		

Representative Attestations		
<ul style="list-style-type: none"> Private Client Services' acknowledgment of your RIA is conditioned upon the requirement that you provide, upon request, complete records pertaining to this business during any compliance audits or other Compliance Department inquiry. Records may include financial information. Private Client Services does not render an opinion on the legality of any OBA. The undersigned registered person agrees to indemnify and hold Private Client Services, its officers, partners, employees, and associated persons harmless from and against any and all losses, liabilities, claims, damages, and expenses whatsoever (including reasonable attorney fees), arising out of any regulatory action, civil litigation, proceeding, or dispute of any kind relating in any way to the acts or omissions of the registered person while performing the functions and responsibilities of the RIA, without limitation as to amount or insurance coverage. The undersigned registered representative agrees to provide account information, including suitability information, to Private Client Services monthly to facilitate required transaction reviews. 		
Representative Signature:		Date:
Private Client Services Approval:		
<ul style="list-style-type: none"> Private Client Services, by approving the Independent RIA activity listed above, also approves new customer accounts opened on the RIA platform by the dually registered representative for the purpose of wealth management transactions. Approval of the activity listed above does not represent any specific endorsement, judgement, recommendation, partnership, or due diligence related to the success or effectiveness of the services offered by the Independent RIA by Private Client Services. Private Client Services is unaffiliated with the Independent RIA firm listed above. 		
Select Approval: <input type="checkbox"/> Approved <input type="checkbox"/> Denied		
Compliance Principal Name:	Compliance Principal Approval Signature:	Date:

Notes: