Colorado Financial Service Corporation

CHECKLIST FOR
FINANCIAL PLANNING OR CONSULTING SERVICES

THE HOME OFFICE DOES NOT NEED THIS DOCUMENT (A013). PLEASE DO NOT SEND THIS DOCUMENT TO THE HOME OFFICE.

A. To Client

- ☐ Provide a copy of the firm's ADV Part 2A document / Firm Disclosure Brochure – (A006)
- ☐ Provide a copy of your personal ADV Part 2B document / ADV Supplement – (A002)
- ☐ CFSC New Account Form (D003) or CFSC New Account Form for Institutional Customer (D008)
  - Must provide a copy of "What We Want You to Know about Us" (D005)
- ☐ Financial Planning or Consulting Services Agreement – (A009)
  - Section 1: Check all of the services to be performed.
- ☐ Investor Profile Questionnaire (A010)
- ☐ Electronic Delivery Election and Acknowledgement (A012) – Optional

B. To Your OSJ Supervisor and Home Office

- ☐ CFSC Direct New Account Form (D003) or (D008)
- ☐ Financial Planning or Consulting Services Agreement – (A009)
- ☐ Investor Profile Questionnaire (A010)
- ☐ Electronic Delivery Election and Acknowledgement (A012) – Optional

Please note that:

- *The Financial Planning Agreement (A009) requires the financial planning report or recap letter. Therefore, you must provide a financial planning report or recap letter for the services you provided to the client. Upon the clients' receipt of the report, the Financial Planning Agreement will be terminated;*
- *The financial planning report or recap letter must be reviewed as an "Outgoing Correspondence" by your OSJ Supervisor. Therefore, forward a copy of the report to you OSJ Supervisor for his review; and*
- *The financial planning report or recap letter must be maintained in both an "outgoing correspondence" file and the client file.*