



INTENT TO USE SOCIAL MEDIA SITES

Fax This Form to 303-339-9875 or Email to Advertising@coloradofsc.com

This form must be reviewed and approved by the OSJ Supervisor who will then forward it to the firm's Compliance Department. If you are supervised by the firm's Home Office, please check here: Supervised by the Home Office

New Request Change(s) to Already Approved Use of Social Media Sites (Initial Approval Date): _____

I. REQUESTING REPRESENTATIVE INFORMATION

1. Name: _____ 2. CFSC Internal Rep Code: _____

3. Registration Information: 6, 7, 22, 26, 62, 79, other: _____

4. DBA Name: _____ OR Do Not Use any DBA Name

5. Submitting Representative's Location Type: OSJ Branch Non-OSJ Branch Unregistered Location

II. INFORMATION ABOUT THE PROPOSED SOCIAL MEDIA SITES TO BE USED

1. Name: Twitter LinkedIn Facebook Other: _____

2. Intended Use: Chat Private (Direct Message) Public Messages Business Websites

Advertising Liking (Endorsement) Public Posting or Public Sharing

Other: _____

3. Intended Date of First Use: _____ 4. Intended Date of Last Use: _____

5. Email Address to be Used to Set-Up the Account(s): _____

III. INTENDED CONNECTIONS OR RECIPIENTS

1. Recipient Types: Existing Customers Prospects Institutional Customers Other: _____

2. What states will the recipients be located in? _____

IV. ACKNOWLEDGEMENT

With my signature below, I acknowledge and certify that:

- I am not allowed to use any email address(es) other than the home office approved one(s) to open any social media site(s) for the purpose of communicating with the public regarding or related to securities and/or investments including but not limited to securities advice and investment banking activities;
- I have read and will follow the firm's policies and procedures governing the communications with the public, including the use of social media sites; and
- When I wish to make any changes to my social media profile site(s) or set-up(s) after the initial approval, I will submit a new request to the firm's Compliance Department and will not make any changes until written approval is obtained.

I also agree to pay Colorado Financial its social media monitoring system fee(s), a one-time set-up fee and/or recurring system fee, if any.

Submitting Representative's Name _____ Signature _____ Date _____

OSJ Supervisor's Name _____ Signature _____ Date _____

HOME OFFICE USE ONLY

Approved Rejected

By (Name and Title): _____ Date _____

Reviewer Assignment: Home Office OSJ Supervisor Other: _____

System set-up notification (Date notified: _____) System set-up Completion (Date completed: _____)