

GRP CLIENT FORMS CHECKLIST

(All forms must be current)



All GRP Agreements and forms that require GRP review should be submitted to ComplianceDocs@grpfinancial.com.

GRP Investment Advisory Agreements can be found on our website: www.grpfinancial.com.

RETIREMENT PLAN	
ERISA Covered Plan	
- GRP ERISA Plan Advisory Agreement - Sample IPS (if applicable) - Applicable Provider Paperwork - ADV Parts 2A and Part 2B	
Non-ERISA Plan	
- GRP Non-ERISA Plan Advisory Agreement - Sample IPS (if applicable) - Applicable Provider Paperwork - ADV Part 2A and Part 2B	
Fee Schedule Revision Only	
GRP Fee Notification and Amendment form	
Consulting Services – Non-Fiduciary	
- GRP Consulting Agreement - ADV Part 2A and Part 2B	
Participant Education - Consulting Only	
- GRP Consulting Agreement – Participant Education - ADV Part 2A and Part 2B	
Participant Advice	
- Participant Investment Advisory Agreement - ADV Part 2A, Part 2B and Form CRS (ADV Part 3)	
Solicitor	
Pre-approval must be obtained from GRP Compliance prior to completing or submitting any documents.	
- GRP Solicitor Agreement - W9 for individual/entity to be paid solicitor fee - Solicitor Disclosure form (client acknowledgement) - ADV Part 2A and Part 2B	
SIMPLE Plan	
- GRP Investment Advisory Agreement – Non-ERISA SIMPLE IRA Plan - Applicable vendor paperwork - ADV Part 2A and Part 2B	

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INDIVIDUAL WEALTH MANAGEMENT (RETAIL)	
LPL Account	
- GRP Retail Investment Advisory Agreement for accounts custodied at LPL (GRP Retail IAA – LPL or GRP Retail IAA – LPL GWP) - Applicable LPL account application and required documents - ADV Part 2A, Part 2B and Form CRS (ADV Part 3) - GRP Rollover Documentation generated from the Fiduciary Decisions tool (where applicable)	
Third Party Money Manager	
Confirm with GRP Compliance whether the money manager has been approved. - Applicable* GRP Retail Investment Advisory Agreement for accounts with the Third Party Money Manager - Applicable Third Party account application and required documents - ADV Part 2A, Part 2B and Form CRS (ADV Part 3) - GRP Rollover Documentation generated from the Fiduciary Decisions tool (where applicable) *Trust accounts will require GRP's <i>Investment Advisory Agreement for TRUST ACCOUNT with a Third Party Asset Manager</i> along with the additional supporting documentation outlined in the agreement.	
Off-Platform Account	
Pre-approval must be obtained from GRP and/or LPL Compliance prior to completing or submitting any documents. - GRP Retail Investment Advisory Agreement for accounts custodied Off-Platform - Applicable off-platform account application and required documents - GRP Wrap Brochure- <i>when applicable</i> - ADV Part 2A, Part 2B and Form CRS (ADV Part 3) - GRP Rollover Documentation generated from the Fiduciary Decisions tool (where applicable)	
Financial Planning	
- GRP Financial Planning Agreement - Copy of completed Financial Plan - ADV Part 2A, Part 2B and Form CRS (ADV Part 3)	
Miscellaneous	
Client Meeting Documentation – Required at least annually for each advisory client	

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