

Client Forms & Submission Guide



A reference guide for Investment Adviser Representatives and teams covering required agreements, submission procedures, and frequently asked questions.

Quick Reference: Where to Submit

Forms & Compliance Submissions ComplianceDocs@grpfinancial.com	Agreement Templates & Resources www.grpfinancial.com
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All forms must be current at time of submission. Please verify you are using the most recent version of each agreement before presenting to clients.

CLIENT DOCUMENT SUBMISSION AND PROCESSING

Please see below for GRP's standard procedures for submitting client documents for review and/or processing:

1. Hand-signed copies should be submitted to ComplianceDocs@grpfinancial.com
2. Electronic signature* requests should be submitted using the following:
 - Assign "GRP" as the RIA or GRP signer
 - Send it to ComplianceDocs@grpfinancial.com
 - Use passcode: 1234

**Electronic signatures must be accompanied by a certificate of authentication.*

Leveraging these processes will help to avoid delays. If you have any questions or need assistance, please contact Lien.Tran@grpfinancial.com / 415-526-2763

Document Type	Destination
GRP Client Agreements	ComplianceDocs@grpfinancial.com
Other GRP Forms/Paperwork	ComplianceDocs@grpfinancial.com
Other <u>Client</u> Forms that Require Compliance Review/Signature	ComplianceDocs@grpfinancial.com
Custodian Account Paperwork	Custodian
Vendor Paperwork	Vendor
Any IAR documents related to compliance disclosures or registration.	Orion Compliance or BranchOperations@grpfinancial.com

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Internal Use Only

How to Use This Guide

This guide is organized by services and client categories. Locate your client category and refer to the list of documents under that category before submitting paperwork to GRP.

Three things to confirm before every submission:

- You are using the current version of each agreement (available at www.grpfinancial.com).
- All required disclosures — ADV Parts 2A/Privacy Policy, 2B, and Form CRS (where applicable) — have been delivered to the client.
- Submissions are directed to ComplianceDocs@grpfinancial.com unless otherwise noted.

Note: *If you are unsure which agreement applies to your engagement, contact ComplianceDocs@grpfinancial.com before proceeding.*

SECTION 1 | INSTITUTIONAL or RETIREMENT PLAN SERVICES

ERISA Covered Plan

- GRP ERISA Plan Advisory Agreement
- Applicable Provider Paperwork
- ADV Parts 2A and 2B

Non-ERISA Plan

- GRP Non-ERISA Plan Advisory Agreement
- Applicable Provider Paperwork
- ADV Parts 2A and 2B

Fee Schedule Revision Only

- GRP Fee Notification and Amendment Form

Consulting Services – Non-Fiduciary

- GRP Consulting Services Agreement
- ADV Parts 2A and 2B

Participant Education – Consulting Only

- GRP Consulting Services Agreement
- ADV Parts 2A and 2B

Participant Advice

- Participant Investment Advisory Agreement
- ADV Parts 2A, 2B, and Form CRS (ADV Part 3)

Promoter Arrangements

⚠ Pre-Approval Required: Pre-approval must be obtained from GRP Compliance before completing or submitting any Promoter documents.

- GRP Promoter Agreement, including Exhibit B-1 and/ or B-2
- W-9 for individual or entity Promoter
- ACH Authorization for Promoter payment
- Promoter Disclosure Form (client acknowledgement)
- ADV Parts 2A and 2B

Ongoing Client Documentation

- Client Meeting Documentation – Required at minimum annually for each advisory client

SECTION 2 | INDIVIDUAL WEALTH MANAGEMENT (RETAIL)

LPL Custodied 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 Parts 2A, 2B, and Form CRS (ADV Part 3)
- GRP Rollover Documentation generated from the Fiduciary Decisions tool (where applicable)
- GRP Client Authorization to Disclose PII (where applicable)

Third-Party Money Manager

Note: *Confirm with GRP Compliance that the money manager has been approved before proceeding.*

- Applicable GRP Retail Investment Advisory Agreement for accounts with the Third-Party Money Manager
- Applicable Third-Party account application and required documents
- ADV Parts 2A, 2B, and Form CRS (ADV Part 3)
- GRP Rollover Documentation generated from the Fiduciary Decisions tool (where applicable)
- GRP Client Authorization to Disclose PII (where applicable)

Note: *Trust accounts require GRP's Investment Advisory Agreement for Trust Accounts with a Third-Party Asset Manager, along with additional supporting documentation outlined in the agreement.*

Off-Platform Account

⚠ Pre-Approval Required: Pre-approval must be obtained from GRP and/or LPL Compliance before completing or submitting any Off-Platform documents.

- GRP Retail Investment Advisory Agreement for accounts custodied Off-Platform
- Applicable off-platform account application and required documents
- GRP Wrap Brochure (when applicable)
- ADV Parts 2A, 2B, and Form CRS (ADV Part 3)
- GRP Rollover Documentation generated from the Fiduciary Decisions tool (where applicable)
- GRP Client Authorization to Disclose PII (where applicable)

Financial Planning

- GRP Financial Planning Agreement
- ADV Parts 2A, 2B, and Form CRS (ADV Part 3)

Ongoing Client Documentation

- **Client Meeting Documentation – Required at minimum annually for each advisory client**

Note: *Annual client meeting documentation is a supervision requirement under GRP's policies. Please ensure this is completed and retained for every advisory relationship.*

SECTION 3 | FREQUENTLY ASKED QUESTIONS

Who should I contact if I have questions completing an agreement's fillable fields?

For specific inquiries or troubleshooting, contact ComplianceDocs@grpfinancial.com.

Who should I contact if I am unsure which agreement to use?

Consult this Client Forms Checklist (available at www.grpfinancial.com). For specific inquiries, contact ComplianceDocs@grpfinancial.com.

What is the process if a client or their counsel requests edits to an agreement template?

The procedure for requesting edits remains largely unchanged:

- Have the client or their representative mark up the PDF using Adobe tools.
- Once redlined, submit the agreement and any relevant context to ContractReview@grpfinancial.com.
- GRP will review the proposed edits and communicate a response to your team.
- Once all parties agree to any changes, GRP home office will provide a final PDF to your team.

Still have questions?

Contact ComplianceDocs@grpfinancial.com or visit www.grpfinancial.com.

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