Guidelines for Completing a Retail Investment Advisory Agreement

1. Please complete **ALL** fields on the agreement.
2. Effective date – this is the date you started providing services on the account with GRP.
   - For reassigned accounts – the effective date is the date of reassignment to GRP
   - For new accounts - the effective date is the date when advisory services began, usually the date of the account opening.
3. Each beneficiary owner needs its own agreement. For example, if a household has accounts under husband, wife, and joint, and a family Trust, a separate agreement is required for the husband, wife, and husband and wife's joint accounts, and the Trust. Separate agreements are also required for separate trusts, even if the Trustee is the same.
4. For Trust accounts – Please attach the Trust Certificate, Trust agreement, or the account application showing the authorized Trustees.
   - Please complete the information of the Trust on the first column of the agreement. This will include the name and address of the Trust, the date the trust was created inserted in the Date of Birth section, and the Tax ID of the Trust.
   - The Trustee(s) information should be completed on subsequent columns of the agreement.
5. For UTMA or Custodial accounts – Please attach the account application showing the authorized custodian or guardian.
   - Please complete the information of account owner or Minor on the first column of the agreement.
   - The Custodian's information should be completed on the next column.
   - A separate agreement is required for each separate UTMA or Custodial account, even is the custodian is the same.
6. For business or corporate accounts – Please attach the Trust Certificate or corporate resolution showing the authorized signer(s) on the account.
   - Please completed the company or organization's information on the first column of the agreement.
   - The authorized signer(s) information should be completed on the subsequent columns of the agreement.
7. Under Occupation and Employer, if an individual is retired or unemployed – Please provide the former Occupation and former Employer/Industry.
8. Signatures – Please have all account owners/trustees sign and date on the signature page of the agreement.
9. If the agreement is DocuSigned, the Certificate of Completion is required to be submitted along with the agreement.