Application for Core-4.com Adviser Alliance Listing

This form will be public on the website

Personal and Firm Information

Your Name:

Your Position:

Name of Firm:

Years your firm been in business: ________

Insert link to business website:

Insert link to ADV Part 2:

Check all services do you or your firm provide:

- ☐ Advice-only (in-depth financial planning, investment research and advice, wealth preservation)
- ☐ Investment management (may include limited advice)
- ☐ Both #1 and #2
- ☐ Other services (please list):

Which of the following designations do you hold (Check all that apply):

- ☐ CFA
- ☐ CFP
- ☐ ChFC
- ☐ CLU
- ☐ CPA
- ☐ PFS
- ☐ EA
- ☐ MBA
- ☐ BS or MS in finance related field
- ☐ Other (please list)

Which of the following accounts do you consider yourself an expert on? (check all that apply)

- ☐ 401(k)
- ☐ 403(b)
- ☐ 457(b)
- ☐ Individual 401(k)
- ☐ SEP-IRA
- ☐ Defined Benefit/Cash Balance Plan
- ☐ SIMPLE IRA
- ☐ Traditional IRA
- ☐ Roth IRA
- ☐ HSA
- ☐ Profit-sharing Plan
- ☐ Others (Please list):

Years of professional financial experience you have working directly with individuals: ________

Years you have been at the firm: ________

Number of professionals currently providing services at the firm: ________

Fee Structure

How do you get paid (check all that apply):

- ☐ Hourly rate
- ☐ Annual retainer
- ☐ Flat fee for service
- ☐ Monthly subscription
- ☐ AUM Fee
- ☐ Other (please provide)

Explain how you charge and how much you charge: Please list your fee structure. If there is a range of possible fees a client can expect to pay, what is the range and what determines where in the range they would fall. If you use AUM fees, be sure to list what dollar amount and percentage an investor would pay with $100K, $500K, $1M, and $2M in assets.

If you charge AUM, what's the minimum in assets required for you to take a client? ________________

If you receive commissions or trailing payments for product sales, what percentage of your total revenue does it make up? __________

Investment Philosophy and Strategy

Are you a fiduciary?

Do you sign a fiduciary agreement with clients?

Do you adhere to a passive investment philosophy that is in line with Core-4 Investment Principles: simple, transparent, affordable and enduring (long-term focused)?

Do you believe in a culture of professionalism, responsiveness, trustworthiness and accuracy?

Please explain your process for selecting an asset allocation and securities for your clients including the role fees play in your selection of individual investments?

What percentage of a portfolio do you typically put in index funds or ETFs that track indexes?

What fund companies do you routinely use? (Check all that apply)

- ☐ Vanguard
- ☐ DFA
- ☐ iShares
- ☐ Schwab
- ☐ SPDR (State Street)
- ☐ Other (Please list):

Do you proactively take steps in a market downturn to preempt bad investor behavior?

Do you routinely engage in tax-loss harvesting for clients in their taxable accounts?

How often do you communicate with your clients?

Legal Issues

Have you had any events in the past that are reportable to regulatory agencies? If so, please attach explanation.

Have any of your former clients sued you? What was the outcome? Please attach explanation.

Are you currently involved in a lawsuit by a client or former client? Please attach explanation.

Additional Items

Are you willing to provide relevant and enduring content to the Core-4 Blog at least once per year?

Anything else that you would like me to take into consideration with regards to your application? (Attach additional documentation as desired)

____ ____________________

e-Sign (type legal name) Date