

## COMMONWEALTH ALLIANCE PROGRAM SOLICITOR DISCLOSURE STATEMENT

NFS Account #: \_\_\_\_\_

\_\_\_\_\_ (“Solicitor”) and Commonwealth Financial Network® (“Commonwealth”), a Registered Investment Adviser, have entered into an agreement pursuant to which Solicitor has agreed to consider prospective clients for whom the investment advisory services of Commonwealth would be suitable and to refer them to an Investment Adviser Representative (“IAR”) of Commonwealth. Solicitor is not authorized to provide investment advice to any client with respect to the advisory services referred to and offered by IAR or Commonwealth and may not provide investment advice on behalf of IAR or Commonwealth with respect to the advisory services referred to and offered by Commonwealth. Solicitor is not an agent of Commonwealth.

Commonwealth has agreed to compensate Solicitor for these activities by paying to Solicitor a referral fee (“Referral Fee”) equal to \_\_\_\_\_% of the advisory fees payable to IAR from referred client assets. Neither IAR nor Commonwealth will charge a client referred to IAR and Commonwealth by Solicitor any amount for the cost of obtaining the client that is in addition to the fee normally charged by IAR and Commonwealth for investment advisory services.

Under the client’s investment advisory relationship with IAR and Commonwealth, all fees and other payments should be made payable to Commonwealth Financial Network, the applicable managed account program sponsor, or the applicable account custodian. Neither Solicitor nor IAR may accept cash, checks, or any other instrument payable to Solicitor and/or IAR relative to any investment advisory services offered to the client by IAR or Commonwealth.

### Client Acknowledgment

I hereby represent and acknowledge that, in compliance with Rule 206(4)-3 of the Investment Advisers Act of 1940 and the rules and regulations thereunder, as amended, I have received the following materials from Solicitor:

- One (1) copy of Part 2 of Form ADV (or “Brochure”) for Commonwealth Financial Network
- One (1) copy of the Solicitor Disclosure Statement, as set forth above, concerning the agreement between Commonwealth and Solicitor relating to (i) Solicitor’s referral of clients to Commonwealth for investment advisory services, and (ii) the compensation received by Solicitor from Commonwealth

I hereby acknowledge that Solicitor has not provided investment advice to me with respect to the advisory services referred to and offered by IAR or Commonwealth. I hereby authorize Commonwealth to deliver to Solicitor copies of all account statements and performance results generated by Commonwealth with respect to my advisory accounts at Commonwealth. I further acknowledge that I have not delivered, and will not deliver, fees or make other payments to Solicitor or IAR relative to the investment advisory services offered or to be offered to me by IAR or Commonwealth.

Dated this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

Print Client Name: \_\_\_\_\_ Client Signature: \_\_\_\_\_

Print Client Name: \_\_\_\_\_ Client Signature: \_\_\_\_\_