



# LEVEL FOUR

Advisory Services

A DIVISION OF  
LEVEL FOUR GROUP, LLC

LF023

Form #

Account #

Branch #

FA #

## SEPARATELY MANAGED ACCOUNT INFORMATION AND IAR ATTEST FORM

**Directions:** Complete all sections of this form for each new Separately Managed Account opened for an existing client. Please use one form per registration and/or fee schedule.

This form is only to be used when opening additional client accounts using authorization granted by the client on the LFAS Investment Advisory Agreement and within the custodian account opening forms. This form may not be used for Schwab or Fidelity accounts established using the standard account applications.

Client Name(s): \_\_\_\_\_

Custodian:  Raymond James  Fidelity

Master Account Number: \_\_\_\_\_ Registration: \_\_\_\_\_

### Portfolio Selection

Account Number	Registration	Funding Source	Initial Contribution
<b>Level Four Capital Management</b>			<b>Level Four Advisory Services</b>
<b>Equity SMA</b> <input type="checkbox"/> Large Cap Growth <input type="checkbox"/> International <input type="checkbox"/> Dividend Growth <input type="checkbox"/> Small Cap Core Active <input type="checkbox"/> Small Mid Cap Passive <input type="checkbox"/> Completion <input type="checkbox"/> Private Equity <input type="checkbox"/> Private Credit	<input type="checkbox"/> Cash/Funding  <b>Fixed Income SMA</b> <input type="checkbox"/> Taxable <input type="checkbox"/> Tax Exempt <input type="checkbox"/> Managed Muni Long <input type="checkbox"/> Managed Muni Intermediate <input type="checkbox"/> Managed Muni Short <input type="checkbox"/> High Yield Muni	<b>Asset Allocation</b> <input type="checkbox"/> Growth <input type="checkbox"/> Moderate Growth <input type="checkbox"/> Growth w/ Income <input type="checkbox"/> Defensive <input type="checkbox"/> Yield Plus <input type="checkbox"/> Alternative <input type="checkbox"/> Income w/ Moderate Growth <input type="checkbox"/> Income w/ Cap Preservation <input type="checkbox"/> Fixed Income <input type="checkbox"/> Taxable <input type="checkbox"/> Tax-Exempt <input type="checkbox"/> Crypto Completion	<b>Rep Managed</b> <input type="checkbox"/> Growth <input type="checkbox"/> Moderate Growth <input type="checkbox"/> Growth w/ Income <input type="checkbox"/> Income w/ Moderate Growth <input type="checkbox"/> Income w/ Cap Preservation <input type="checkbox"/> Fixed income <input type="checkbox"/> Alternative

Account Number	Registration	Funding Source	Initial Contribution
<b>Level Four Capital Management</b>			<b>Level Four Advisory Services</b>
<b>Equity SMA</b> <input type="checkbox"/> Large Cap Growth <input type="checkbox"/> International <input type="checkbox"/> Dividend Growth <input type="checkbox"/> Small Cap Core Active <input type="checkbox"/> Small Mid Cap Passive <input type="checkbox"/> Completion <input type="checkbox"/> Private Equity <input type="checkbox"/> Private Credit	<input type="checkbox"/> Cash/Funding  <b>Fixed Income SMA</b> <input type="checkbox"/> Taxable <input type="checkbox"/> Tax Exempt <input type="checkbox"/> Managed Muni Long <input type="checkbox"/> Managed Muni Intermediate <input type="checkbox"/> Managed Muni Short <input type="checkbox"/> High Yield Muni	<b>Asset Allocation</b> <input type="checkbox"/> Growth <input type="checkbox"/> Moderate Growth <input type="checkbox"/> Growth w/ Income <input type="checkbox"/> Defensive <input type="checkbox"/> Yield Plus <input type="checkbox"/> Alternative <input type="checkbox"/> Income w/ Moderate Growth <input type="checkbox"/> Income w/ Cap Preservation <input type="checkbox"/> Fixed Income <input type="checkbox"/> Taxable <input type="checkbox"/> Tax-Exempt <input type="checkbox"/> Crypto Completion	<b>Rep Managed</b> <input type="checkbox"/> Growth <input type="checkbox"/> Moderate Growth <input type="checkbox"/> Growth w/ Income <input type="checkbox"/> Income w/ Moderate Growth <input type="checkbox"/> Income w/ Cap Preservation <input type="checkbox"/> Fixed income <input type="checkbox"/> Alternative

Supplement - Portfolio Selection

Account Number		Registration		Funding Source		Initial Contribution			
<b>Level Four Capital Management</b>						<b>Level Four Advisory Services</b>			
<b>Equity SMA</b> <input type="checkbox"/> Large Cap Growth <input type="checkbox"/> International <input type="checkbox"/> Dividend Growth <input type="checkbox"/> Small Cap Core Active <input type="checkbox"/> Small Mid Cap Passive <input type="checkbox"/> Completion <input type="checkbox"/> Private Equity <input type="checkbox"/> Private Credit		<input type="checkbox"/> Cash/Funding		<b>Fixed Income SMA</b> <input type="checkbox"/> Taxable <input type="checkbox"/> Tax Exempt <input type="checkbox"/> Managed Muni Long <input type="checkbox"/> Managed Muni Intermediate <input type="checkbox"/> Managed Muni Short <input type="checkbox"/> High Yield Muni		<b>Asset Allocation</b> <input type="checkbox"/> Growth <input type="checkbox"/> Moderate Growth <input type="checkbox"/> Growth w/ Income <input type="checkbox"/> Defensive <input type="checkbox"/> Yield Plus <input type="checkbox"/> Alternative <input type="checkbox"/> Income w/ Moderate Growth <input type="checkbox"/> Income w/ Cap Preservation <input type="checkbox"/> Fixed Income <input type="checkbox"/> Taxable <input type="checkbox"/> Tax-Exempt <input type="checkbox"/> Crypto Completion		<b>Rep Managed</b> <input type="checkbox"/> Growth <input type="checkbox"/> Moderate Growth <input type="checkbox"/> Growth w/ Income <input type="checkbox"/> Income w/ Moderate Growth <input type="checkbox"/> Income w/ Cap Preservation <input type="checkbox"/> Fixed income <input type="checkbox"/> Alternative	

Account Number		Registration		Funding Source		Initial Contribution			
<b>Level Four Capital Management</b>						<b>Level Four Advisory Services</b>			
<b>Equity SMA</b> <input type="checkbox"/> Large Cap Growth <input type="checkbox"/> International <input type="checkbox"/> Dividend Growth <input type="checkbox"/> Small Cap Core Active <input type="checkbox"/> Small Mid Cap Passive <input type="checkbox"/> Completion <input type="checkbox"/> Private Equity <input type="checkbox"/> Private Credit		<input type="checkbox"/> Cash/Funding		<b>Fixed Income SMA</b> <input type="checkbox"/> Taxable <input type="checkbox"/> Tax Exempt <input type="checkbox"/> Managed Muni Long <input type="checkbox"/> Managed Muni Intermediate <input type="checkbox"/> Managed Muni Short <input type="checkbox"/> High Yield Muni		<b>Asset Allocation</b> <input type="checkbox"/> Growth <input type="checkbox"/> Moderate Growth <input type="checkbox"/> Growth w/ Income <input type="checkbox"/> Defensive <input type="checkbox"/> Yield Plus <input type="checkbox"/> Alternative <input type="checkbox"/> Income w/ Moderate Growth <input type="checkbox"/> Income w/ Cap Preservation <input type="checkbox"/> Fixed Income <input type="checkbox"/> Taxable <input type="checkbox"/> Tax-Exempt <input type="checkbox"/> Crypto Completion		<b>Rep Managed</b> <input type="checkbox"/> Growth <input type="checkbox"/> Moderate Growth <input type="checkbox"/> Growth w/ Income <input type="checkbox"/> Income w/ Moderate Growth <input type="checkbox"/> Inc w/ Cap Preservation <input type="checkbox"/> Fixed income <input type="checkbox"/> Alternative	

Account Number		Registration		Funding Source		Initial Contribution			
<b>Level Four Capital Management</b>						<b>Level Four Advisory Services</b>			
<b>Equity SMA</b> <input type="checkbox"/> Large Cap Growth <input type="checkbox"/> International <input type="checkbox"/> Dividend Growth <input type="checkbox"/> Small Cap Core Active <input type="checkbox"/> Small Mid Cap Passive <input type="checkbox"/> Completion <input type="checkbox"/> Private Equity <input type="checkbox"/> Private Credit		<input type="checkbox"/> Cash/Funding		<b>Fixed Income SMA</b> <input type="checkbox"/> Taxable <input type="checkbox"/> Tax Exempt <input type="checkbox"/> Managed Muni Long <input type="checkbox"/> Managed Muni Intermediate <input type="checkbox"/> Managed Muni Short <input type="checkbox"/> High Yield Muni		<b>Asset Allocation</b> <input type="checkbox"/> Growth <input type="checkbox"/> Moderate Growth <input type="checkbox"/> Growth w/ Income <input type="checkbox"/> Defensive <input type="checkbox"/> Yield Plus <input type="checkbox"/> Alternative <input type="checkbox"/> Income w/ Moderate Growth <input type="checkbox"/> Income w/ Cap Preservation <input type="checkbox"/> Fixed Income <input type="checkbox"/> Taxable <input type="checkbox"/> Tax-Exempt <input type="checkbox"/> Crypto Completion		<b>Rep Managed</b> <input type="checkbox"/> Growth <input type="checkbox"/> Moderate Growth <input type="checkbox"/> Growth w/ Income <input type="checkbox"/> Income w/ Moderate Growth <input type="checkbox"/> Income w/ Cap Preservation <input type="checkbox"/> Fixed income <input type="checkbox"/> Alternative	

Separately Managed Account Information And IAR Attest Form

Account Number	Registration	Funding Source	Initial Contribution
<b>Level Four Capital Management</b>			<b>Level Four Advisory Services</b>
<b>Equity SMA</b> <input type="checkbox"/> Large Cap Growth <input type="checkbox"/> Cash/Funding <input type="checkbox"/> International <input type="checkbox"/> Dividend Growth <input type="checkbox"/> Small Cap Core Active <input type="checkbox"/> Small Mid Cap Passive <input type="checkbox"/> Completion <input type="checkbox"/> Private Equity <input type="checkbox"/> Private Credit	<b>Fixed Income SMA</b> <input type="checkbox"/> Taxable <input type="checkbox"/> Tax Exempt <input type="checkbox"/> Managed Muni Long <input type="checkbox"/> Managed Muni Intermediate <input type="checkbox"/> Managed Muni Short <input type="checkbox"/> High Yield Muni	<b>Asset Allocation</b> <input type="checkbox"/> Growth <input type="checkbox"/> Moderate Growth <input type="checkbox"/> Growth w/ Income <input type="checkbox"/> Defensive <input type="checkbox"/> Yield Plus <input type="checkbox"/> Alternative <input type="checkbox"/> Income w/ Moderate Growth <input type="checkbox"/> Income w/ Cap Preservation <input type="checkbox"/> Fixed Income <input type="checkbox"/> Taxable <input type="checkbox"/> Tax-Exempt <input type="checkbox"/> Crypto Completion	<b>Rep Managed</b> <input type="checkbox"/> Growth <input type="checkbox"/> Moderate Growth <input type="checkbox"/> Growth w/ Income <input type="checkbox"/> Income w/ Moderate Growth <input type="checkbox"/> Income w/ Cap Preservation <input type="checkbox"/> Fixed income <input type="checkbox"/> Alternative

Account Number	Registration	Funding Source	Initial Contribution
<b>Level Four Capital Management</b>			<b>Level Four Advisory Services</b>
<b>Equity SMA</b> <input type="checkbox"/> Large Cap Growth <input type="checkbox"/> Cash/Funding <input type="checkbox"/> International <input type="checkbox"/> Dividend Growth <input type="checkbox"/> Small Cap Core Active <input type="checkbox"/> Small Mid Cap Passive <input type="checkbox"/> Completion <input type="checkbox"/> Private Equity <input type="checkbox"/> Private Credit	<b>Fixed Income SMA</b> <input type="checkbox"/> Taxable <input type="checkbox"/> Tax Exempt <input type="checkbox"/> Managed Muni Long <input type="checkbox"/> Managed Muni Intermediate <input type="checkbox"/> Managed Muni Short <input type="checkbox"/> High Yield Muni	<b>Asset Allocation</b> <input type="checkbox"/> Growth <input type="checkbox"/> Moderate Growth <input type="checkbox"/> Growth w/ Income <input type="checkbox"/> Defensive <input type="checkbox"/> Yield Plus <input type="checkbox"/> Alternative <input type="checkbox"/> Income w/ Moderate Growth <input type="checkbox"/> Income w/ Cap Preservation <input type="checkbox"/> Fixed Income <input type="checkbox"/> Taxable <input type="checkbox"/> Tax-Exempt <input type="checkbox"/> Crypto Completion	<b>Rep Managed</b> <input type="checkbox"/> Growth <input type="checkbox"/> Moderate Growth <input type="checkbox"/> Growth w/ Income <input type="checkbox"/> Income w/ Moderate Growth <input type="checkbox"/> Income w/ Cap Preservation <input type="checkbox"/> Fixed income <input type="checkbox"/> Alternative

**I. Fee Schedule**

**Flat Fee Schedule** Flat annual rate of \_\_\_\_\_%

**Tiered Fee Schedule**

Asset Value \$0 - \$100,000 at the annual rate of \_\_\_\_\_%

Asset Value \$100,000 - \$500,000 at the annual rate of \_\_\_\_\_%

Asset Value \$500,000 - \$1,000,000 at the annual rate of \_\_\_\_\_%

Asset Value \$1,000,000+ at the annual rate of \_\_\_\_\_%

**II. Transaction Fee Structure**

**Fee Plus** -- In addition to the investment advisory fee, the client will pay certain transaction charges associated with trade execution.

**Wrap Fee** -- The client does not pay transaction charges associated with trade execution.

**III. Combined Household Assets Under Management - Tier**

\_\_\_\_\_

**Additional Information**

Please identify any specific management restrictions and provide a brief explanation: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**IAR Attestation**

By completing and signing this Attestation, I/we, hereby acknowledge that the Client(s) listed above has provided authorization for additional accounts to be opened on their behalf by execution of the LFAS Investment Advisory Agreement currently on file and specific authorization (Administration of Account) within that Agreement. I further acknowledge that the Client(s) listed above has also provided authorization for additional accounts to be opened on their behalf at the custodial level in accordance with customary custodial processes and procedures.

---

Advisory Services Representative	Signature	Date
----------------------------------	-----------	------

---

Advisory Services Representative	Signature	Date
----------------------------------	-----------	------

Level Four Group, LLC is a division of CRI Capital Group, LLC, a subsidiary of CRI Advisors, LLC. "CRI" is the brand name under which Carr, Riggs & Ingram, L.L.C. ("CPA Firm") and CRI Advisors, LLC ("Advisors") and its subsidiary entities provide professional services. CPA Firm and Advisors (and its subsidiary entities) practice as an alternative practice structure in accordance with the AICPA Code of Professional Conduct and applicable law, regulations and professional standards. CPA Firm is a licensed independent CPA firm that provides attest services to its clients, and Advisors and its subsidiary entities provide tax and business consulting services to their clients. Advisors and its subsidiary entities are not licensed CPA firms.