



LF136

Form #

Account #

Branch #

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FINANCIAL INSTITUTION DISCLOSURES AND ACKNOWLEDGEMENT

Level Four Financial Services, LLC ("LFF") and/or Level Four Advisory Services, LLC ("LFAS") collectively ("Level Four") have entered into an agreement with _____ ("Financial Institution") whereby certain financial services may be made available to the members of the Financial Institution. The members of the Financial Institution may, but are not required to, take advantage of the services offered by Level Four.

You acknowledge that you have elected to obtain financial services from Level Four. You acknowledge that Level Four and Financial Institution are separate and distinct entities and that the services rendered by Level Four are separate and distinct from those offered by Financial Institution. Level Four does not assume or accept any responsibility for ensuring the quality of services rendered by the Financial Institution or for reviewing the quality of our services provided by Financial Institution.

- Brokerage services, investment advice and investment products offered by Level Four are not insured by the FDIC, NCUA or any federal or state government agency.
- The brokerage services, investment advice and investment products offered by Level Four are not obligations of, or guaranteed by Financial Institution or its affiliates.
- Certain certificates of deposit and cash sweep accounts may be insured by the FDIC, NCUA or a federal state government agency.
- Purchasing securities involves investment risk including the possible loss of principal.
- Representatives of Level Four may be registered with LFF< LFAS, or both LFF and LFAS depending upon what services they are qualified to offer.
- Financial Institution and Level Four have entered into a marketing agreement which may allow financial institution employees who accept deposits on behalf of Level Four to be registered and appointed with Level Four for the purpose of offering brokerage services or investment advice.
- The agreement also provides for Level Four to compensate Financial Institution for hte use of its facilities such that a significant portion of the compensation generated by brokerage commissions or advisory fees may be paid to Financial Instituion. In the event that representatives are also Financial Instituion employees, they may pay directly, from amounts received from Level Four, the representative's compensation.

I hereby certify that I have received the above disclosures orally and have read and completely understand all of the above. In addition, I confirm I have received the Solicitor Disclosure Statement from the Flnancial Institution and a copy of the Level Four Advisory Services Form ADV Part 2A and Form CRS. I have had any questions regarding this acknowledgement answered to my complete satisfaction.

Client Name

Signature

Date

Client Name

Signature

Date

Level Four Financial, LLC Member FINRA & SIPC.

Level Four Advisory Services, LLC, an SEC-registered investment advisor.

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.