



LEVEL FOUR[®]
Financial
A DIVISION OF
LEVEL FOUR GROUP, LLC

12400 Coit Road
Suite 700
Dallas, TX 75251
Phone: 866-834-1040
Fax: 866-763-9136

LFF140
Form #
Branch #

Account #
FA #

Space Sharing Form & Acknowledgement

Occupant Information

Shared occupant company name: _____

Shared occupant individual name: _____

Type of business conducted: _____

How many individuals will be sharing the space? _____

Will the shared occupant be operating from the space on a full-time basis? _____

If "no", approximately how many hours per week? _____

What percentage of the office space will be utilized by the shared occupant? _____

Do you currently own or lease the shared space? _____

Will the shared occupant be paying rent or a fee in order to occupy the space? _____

If "yes" please provide copy of any written lease agreements in place. If no agreement is in place, please provide details of the arrangement below including how much the shared occupant will be paying each month and what the shared occupant will have access to within the shared space.

Is/are the shared occupant(s) currently one of your clients? _____

Are you related to the shared occupants(s)? _____

Do you anticipate any joint marketing with the shared occupant? _____

If "yes, please describe _____

Is the business investment related? (ie. Registered BD, RIA, Insurance Agency offering variable annuities). If "Yes" please provide information relating to the registered entity below.

Investment Related Entities

Provide the firm's FINRA/SEC CRD# (if applicable) _____

What is the nature of the investment related business conducted by the shared occupant?



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Please provide information relating to any possible conflicts of interest noted with sharing relationship?

Are services currently offered by Level Four Financial, LLC and/or Level Four Advisor Services, LLC currently being offered by the shared occupant? Please explain.

Acknowledgement:

By signing below I acknowledge the following:

- I will comply with Regulation S-P by making sure that my customer account and non-public personal information (NPPI) is maintained in a secure format which may include, but would not be limited to, computer encryption, locked doors and/or drawers and out of reach by the shared occupant. Additionally, I will create controls to protect inappropriate sharing of or exposure to confidential information.
- I will notify my Compliance Department if the sharing arrangement materially changes from information I have provided above.
- I will consider if this sharing arrangement should be disclosed as an outside business and will report it if required.

 Advisor/Rep Signature

 Printed Name

 Date

Will the Form BR need to be updated to include the Sharring Arrangment? _____

Is the Sharring Arrangmenet approved? _____

Principal Signature: _____

Revised 11.6.2024

Level Four Financial, LLC - Member FINRA & SIPC