



Sample Broker-Dealer Compliance Acknowledgement

(Note: This may be a required reporting activity under FINRA business conduct rules if you are a registered representative affiliated with a FINRA member firm.)

FPA® members acknowledge that they have sole responsibility for seeking and attaining approvals from their own firm's compliance department and/or firm compliance director to participate in *pro bono* activities, including, but not limited to approval from affiliated broker-dealers.

Each member is responsible for obtaining all necessary approvals, which may include approval of the FPA *Pro Bono* Letter of Engagement from the broker-dealer's compliance department or compliance director.

FPA recommends that each member subject to FINRA rules, who is considering conducting *pro bono* service, contact his/her broker-dealer compliance department in advance and obtain necessary approval to engage in services.

The contents of all *pro bono* reports and recommendations are for informational purposes only and are not to be construed as an offer to sell or solicit product purchases or sales. Such offers are outside of the scope of services offered in a *pro bono* agreement required for participation in FPA's *pro bono* programs. Under a *pro bono* engagement, FPA members are prohibited from making specific product recommendations, or offering to render paid services within the *pro bono* engagement. FPA will not warranty, guarantee or make any representations, or assume any liability with regard to activity of the FPA member participating in a *pro bono* engagement.

- I am or my firm is affiliated with a broker-dealer.** I will contact my broker-dealer and compliance department to inform them of my intent on working with the FPA's *pro bono* effort.
- I am or my firm is not affiliated with a broker-dealer.** I will contact the compliance/legal department of my firm, as required under rule or regulation, to inform them of my intent to participate in FPA's *pro bono* effort.

Signed:

FPA Member

Member's Compliance Department

Date

Date

Note to members: Please keep this on file for your records.