

Note: Upon completion, please save this document to the client's General folder in Docupace. Do not image this document to non-advisory account folders (e.g. brokerage accounts with a "OSK" prefix, variable contracts, etc.).

ESI Annual Client Contact Attestation

Client Name(s) _____

- ☐ The advisor(s) certifies that he/she met with the client(s) on the date(s) indicated, regarding their advisory accounts to a) determine whether there have been any changes to the client's financial situation or investment objectives, and b) whether the client wishes to impose any reasonable restrictions on the management of the account, or reasonably modify any pre-existing restrictions; or
- ☐ The advisor(s) certifies that he/she made multiple unsuccessful attempts to reach the client, sent the ESI Annual Client Review Letter and Questionnaire to the client, and uploaded evidence of this attempt into Docupace.

Date of Contact _____ Investment Adviser Representative _____