

Initial Texting Attestation Disclosure Form

The Advisers Act Rule 204-2 (“Books and Records Rule”) requires advisers to make and keep certain books and records relating to their investment advisory business, including typical accounting and other business records as required by the Commission. The firm’s Compliance Manual describe the firm’s current policy regarding the use of texting.

The Manual also requires that each Supervised Person complete and sign this attestation acknowledging either a Supervised Person:

- » intends on using the Firm’s approved texting platform for Business Purposes or;
- » will not use texting for Business Purposes.

This policy, in part, requires that all Supervised Persons of the Firm request approval, in writing, PRIOR to using the Firm’s approved texting platform to conduct any business or correspondence.

Definitions:

A Supervised Person is a registered person, non-registered fingerprinted person, or stakeholder of CWM, LLC. and any partner office. This includes all administrative stakeholders.

Business Purposes – texting communications that references any business-related information.

Please indicate below your intent to use texting for business purposes:

I do not use, nor do I intend on using texting or any texting platforms to conduct business, correspondence or marketing with clients or Supervised Persons. This includes any internal discussions about business related topics and activities. If I am found to have used texting for business purposes, I understand that I am subject to disciplinary action up to and including termination.

I will use the Firm’s approved texting platform to conduct any business, correspondence or marketing with clients or Supervised Persons. This includes any internal discussions about business related topics and activities.

If you have additional questions, please contact the Compliance Department for further guidance.

My signature below certifies that all of the information above is true and correct. Furthermore, I attest that I have read, understand and agree to comply with the Compliance Manual of CWM, LLC.

My business email is

Signature of Supervised Person

Supervised Person’s Printed Name

Date