This Client Acknowledgement Agreement (Agreement) is effective as of _______________or the client signature date, whichever is later (effective date), made by and between Prime Financial Strategies, Inc. (PFS), a Colorado registered investment adviser (RIA), and____ (Client(s). Client hereby acknowledges that PFS and Investment Advisor Representative (IAR) **will not** be acting in their capacities as a Colorado RIA and/or IAR. **PFS and/or IAR will be acting in any or all of their licensed capacities as a registered rep., broker, IAR of Broker/Dealer RIA, and/or independent insurance agency/agent. All appropriate required documentation for the establishment of any accounts/policies will be provided by the selected vendor(s).** Additional specifics are identified in the PFS Addendum entitled "Asset Service".

1. CLIENT INFORMATION

Client

____
First Middle Last Name

_______________________ _______________________ _______________________
SSN Birth Date Phone Number

Citizenship: ___U.S. Citizen ___Resident Alien* ___Non-Resident Alien**

* If owner is a resident or non-resident alien, specify country: Obtain W-8

** Supplemental Customer Identification form if non-resident. Please note: Additional documentation may be required.

____
Home Street Address - No P.O. Box

____
City State Zip Country

____
Mailing Address - P.O. Box Allowed *(Only if different than Home Street Address)*

____
City State Zip Country

____
E-mail Address (By providing your address, you authorize PFS to contact you by e-mail)

____________________________ __________________ ______________ ________________
Valid Government Issued Photo ID# Issuing Entity Issue Date Expiration Date

Other Verification Done:

_________________ _______________________ _________________
Employment Status Employer Name Occupation

_________________ ___________ _________________
Employer City Employer State Phone Number

____
Annual Income

Experience (years): ___Stocks ___Bonds ___Mutual Funds ___Options ___Annuities ___REITs ___DPPs ___Life Insurance

Co-Client

First Middle Last Name

SSN Birth Date Phone Number

Citizenship: ___U.S. Citizen ___Resident Alien ___Non-Resident Alien**
*If owner is a resident or non-resident alien, specify country: Obtain W-8
Supplemental Customer Identification form if non-resident. Please note: Additional documentation may be required.

Home Street Address - No P.O. Box

City State Zip Country

Mailing Address - P.O. Box Allowed *(Only if different than Home Street Address)*

City State Zip Country

E-mail Address (By providing your address, you authorize PFS to contact you by e-mail)

Valid Government Issued Photo ID# Issuing Entity Issue Date Expiration Date
Other Verification Done:

Employment Status Employer Name Occupation

Employer City Employer State Phone Number

Annual Income

Experience (years): ___Stocks ___Bonds ___Mutual Funds ___Options ___Annuities ___REITs ___DPPs ___Life Insurance

2. SERVICES: None provided thru PFS acting in its capacity as a Colorado RIA and/or IAR. Client chooses not to engage the Chartered Financial Consultant® or Certified Financial Planner® in a more comprehensive financial planning relationship and understands that this may affect the quality of financial advice within the limited scope of investment/insurance relationship.

Print Client Name Client Signature Date

Print Co-Client Name Co-Client Signature Date

Print IAR Name Acknowledged by PFS IAR (Signature) Date

Print Designated Supervisor Accepting on Behalf of PFS Designated Advisory Supervisor Signature Date

Services Included on all in house accounts and policies:

- ☐ Annual Face to Face financial review (in-person or web based) at client request
- ☐ Telephone review upon request (up to two per year)
- ☐ Cash Flow and Budget Analysis, when applicable
- ☐ Account and Policy Information Change and Service Forms preparation and processing
- ☐ Periodic Email Newsletter or Market commentary
- ☐ Investment Allocation tailored to Goal and Volatility targets
- ☐ Personalized Risk Assessment
- ☐ Continuous Investment Account internal data downloads for precision portfolio monitoring
- ☐ Access to Online Consolidated Account Site

Investments and Insurances available on the Asset Level

- ☐ Brokerage Accounts
- ☐ Advisory and Asset based Fee accounts
- ☐ Individual Mutual Funds
- ☐ Individual Retirement Accounts
- ☐ Self Employed Retirement Plans
- ☐ Small Business Employer Sponsored Plans
- ☐ Large Employer Retirement Plans
- ☐ College Funding Accounts
- ☐ Alternative and Direct Participation Investments
- ☐ Real Estate Investment Trusts
- ☐ Structured Products and Market Linked Notes/CDs
- ☐ Variable, Fixed and Indexed Annuities
- ☐ Life Insurance
- ☐ Disability Insurance
- ☐ Long Term Care Insurance
- ☐ Medicare Plans

*Transactional, commission, and/or Asset Based Fee revenue will be earned by the firm on Investment Accounts and Insurance Policies