

Social Media Attestation and Disclosure Form

Associated Person's Name: _____

Regulatory Notice 10-06 and 11-39 as well as FINRA Rule 2210 are FINRA rules and regulations regarding Associated Personnel's use of social media. The firm's Written Supervisory Procedures describe the firm's current restrictions regarding the use of social media. These procedures, in part, require that all Associated Persons of the broker dealer request approval, in writing, **PRIOR** to using a social media platform to solicit potential business or conduct any securities related business, correspondence or marketing.

These procedures also require that each Associated Person complete sign this attestation disclosing any social media platform that an Associated Person is currently using or intends on using for **business purposes**. Please indicate below any and all social media platforms that you are currently using or intend to use for **business purposes**:

I do not use, nor do I intend on using ANY social media website or platform to conduct, solicit or market any securities related business.

If you currently use or intend on using a social media website or platform for business purposes, please indicate below what websites or platforms you use or will use:

Facebook Account Name: _____ LinkedIn Account Name: _____

Twitter Twitter Handle: _____ YouTube Account Name: _____

Other: _____ Account Name: _____ Other: _____ Account Name: _____

Please note that ONLY listing the name of the broker dealer as your employer in your profile on Facebook or other social media platforms (other than LinkedIn) may not need to be indicated above. However, any description of your job responsibilities, a description of the products and services of the broker dealer, any commentary on the financial markets or any specific company or security would have to be disclosed. 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 Social Media Written Supervisory Procedures of **FIRM NAME Securities, Inc.**

Signature of Registered Rep: _____ Date ____/____/____

Compliance Department Use Only

Approved Name of Principal: _____ Date ____/____/____

Denied Name of Principal: _____ Date ____/____/____

Reason for Denial: _____

Signature of Principal _____ Date ____/____/____