OPPENHEIMER
ASSET MANAGEMENT

Procedures for Establishing a Professional Alliance

Step 1: PAG Survey

- By completing and submitting the survey, PAG can begin due diligence and background checks on the Solicitor.
- For domestic survey click here.
- For offshore survey click here.

Step 2: Conference Call

- If the Solicitor passes initial due diligence and background check, then a conference call will be scheduled with Peter Cadaret or Daniel Mullen to further discuss the Solicitor s business and potential referrals while also fully describing PAG.

Step 3: State Registration and Licensing Requirements

- If the Solicitor is required by their respective State Securities Commission to be registered, a copy of their Form ADV will need to be provided before entering into an agreement.
- If the Solicitor is required by their respective State Securities Commission to be licensed, verification that the proper licenses are held by the Solicitor will need to be provided before entering into an agreement.

Step 4: Agreement

- Once due diligence is complete and registration and licensing requirements have been met, a contract will be sent to the Solicitor.
- The Solicitor and Branch Manager are required to sign two copies of the contract and return them to PAG at 85 Broad St., 24th Floor.
- Once received, a PAG official will execute the contract and send a copy to the Solicitor for record keeping purposes.

Step 5: New Account

- Notify PAG when the first account with a PAG Solicitor is ready to be opened and a new PAG Rep number will be established for the Solicitor. **ALL ACCOUNTS REFERRED FROM A SOLICITOR MUST BE IN A PAG REP NUMBER AND NOT IN A PRIMARY REP NUMBER.**
- A copy of the Disclosure Statement signed by the Solicitor must be given by the Solicitor to the prospective client at the time of referral. Once the Disclosure Statement is given to the prospective client the Solicitor must then email PAG with the name of the client who received the Disclosure Statement. A Solicitor cannot receive a referral fee from an account unless PAG has received an email verification that the Solicitor has sent the client the Disclosure Statement.
- A copy of the Client Acknowledgment Letter will be given to the Financial Advisor at the time the PAG relationship is established. All referred clients must sign and return to PAG the Client Acknowledgment Letter. A Solicitor cannot receive a referral fee from an account unless PAG has received a signed Client Acknowledgment Letter for the account.