Annual Client Review (F450)

Account Number

Rep ID

Instructions: This form is used to document ongoing investment advice with clients regarding their account(s) and should be used as a template to input meeting notes in the client account file in accordance with HighPoint policies. This form should be completed for all advisory accounts on at least an annual basis. The form may be copied into a CRM template, which must contain all fields on this form.

For LPL accounts, this form must be uploaded to each account on ClientWorks. For accounts custodied elsewhere, this form must be sent to DAMA@hiptpartners.com for inclusion in the client file.

1. Client Information

Client Name(s):

Account Number(s):

Meeting Date:

Review Completed: ☐ In Person ☐ Virtual ☐ Phone ☐ Email

2. Client Meeting

Please document the topics reviewed with the client below and provide a detailed explanation for any material changes made or proposed.

Reviewed Financial Status ☐ Did Not Review ☐ Reviewed and No Changes ☐ Reviewed and Changes Made or Proposed

Reviewed Risk Tolerance ☐ Did Not Review ☐ Reviewed and No Changes ☐ Reviewed and Changes Made or Proposed

Reviewed Time Horizon ☐ Did Not Review ☐ Reviewed and No Changes ☐ Reviewed and Changes Made or Proposed

Reviewed Inv. Objectives & Goals ☐ Did Not Review ☐ Reviewed and No Changes ☐ Reviewed and Changes Made or Proposed

Reviewed Allocation & Acct. Holdings ☐ Did Not Review ☐ Reviewed and No Changes ☐ Reviewed and Changes Made or Proposed

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Reviewed Investment Performance ☐ Did Not Review ☐ Reviewed and No Changes ☐ Reviewed and Changes Made or Proposed

Reviewed Advisory Account Fees ☐ Did Not Review ☐ Reviewed and No Changes ☐ Reviewed and Changes Made or Proposed

Reviewed Investment Restrictions ☐ Did Not Review ☐ Reviewed and No Changes ☐ Reviewed and Changes Made or Proposed

3. Financial Planning

If the client's WMSA indicates that Financial Planning services will be provided, include a summary of work completed. A copy of all financial plans or any deliverables must be attached to this form or uploaded to the client account and described here. Financial plans must be created using an approved software.

4. General Comments/Notes

5. Financial Advisor Acknowledgment

By completing this form, I acknowledge that the information contained in this form is complete and accurate. I represent that I have given the client the opportunity to ask questions regarding their advisory account(s). Furthermore, based on the above and the client's financial status, risk tolerance, investment objective, and goals, I hereby represent that the advisory account(s) remains appropriate and suitable for the client.

______________________________	______________________________	____________
Financial Advisor Signature (eSignature or typed)	Financial Advisor Name (print)	Date