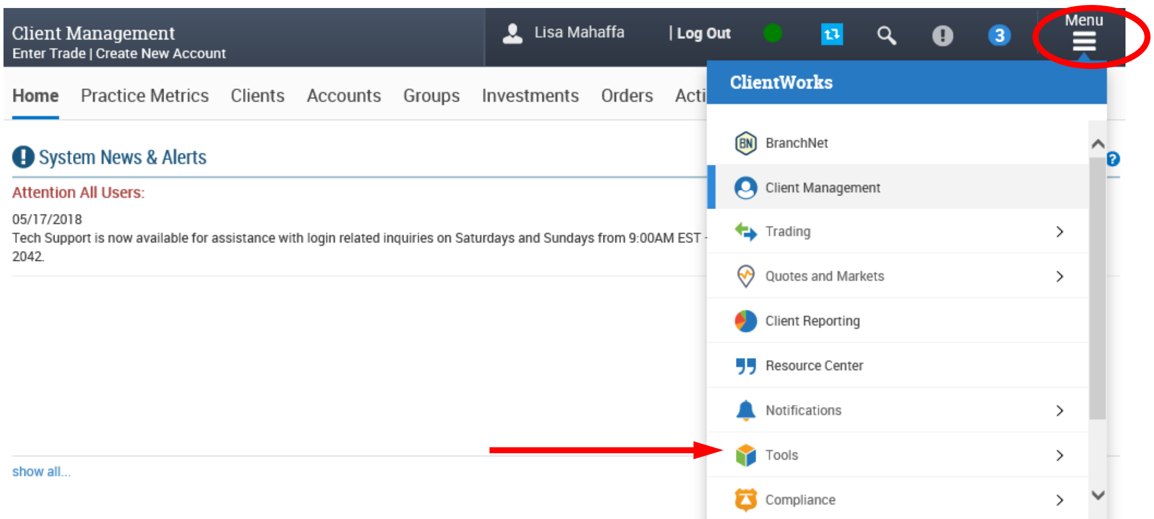
DocuSign Instructions for Sending the HPAG Wealth Management Services Agreement (WMSA)

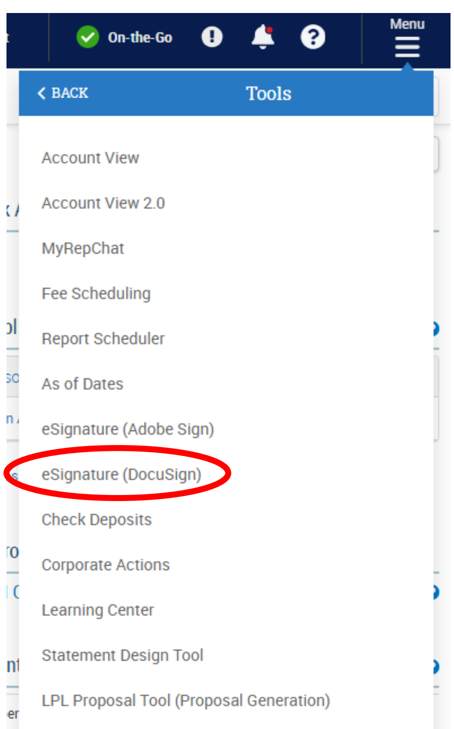
When sending the WMSA (formerly known as the DAMA) through eSignature, you must send the WMSA separately from the other account paperwork in its own envelope. Unlike the LPL forms, the WMSA must be reviewed by our compliance department of HighPoint. Once that has been completed it will be sent to Michelle Juras for signature, whereas all other account paperwork is reviewed by the LPL Home Office and is signed either by the OSJ, OSJ Delegate, or home office compliance department.

Steps to Send the WMSA

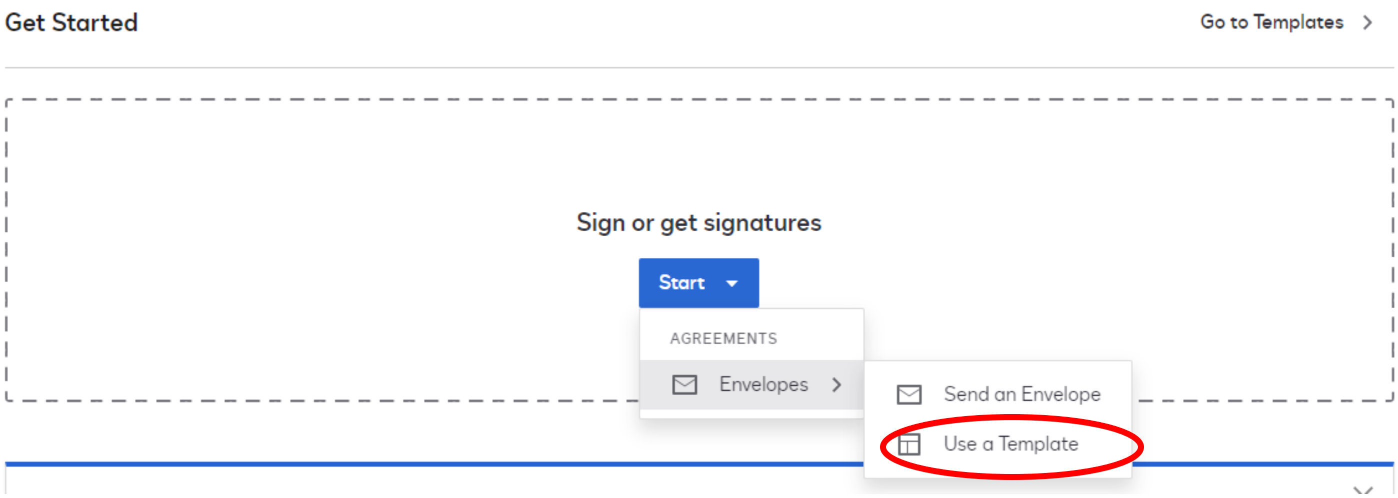
Step 1: Log into ClientWorks. Select Menu and choose Tools



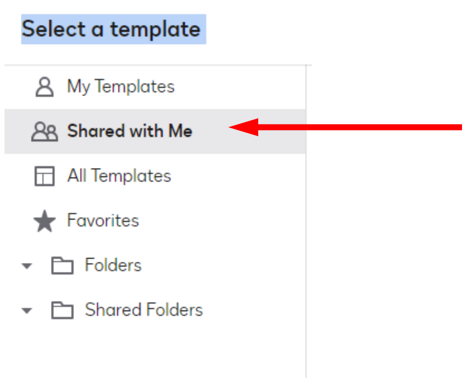
Step 2: Select E-Signature (DocuSign)



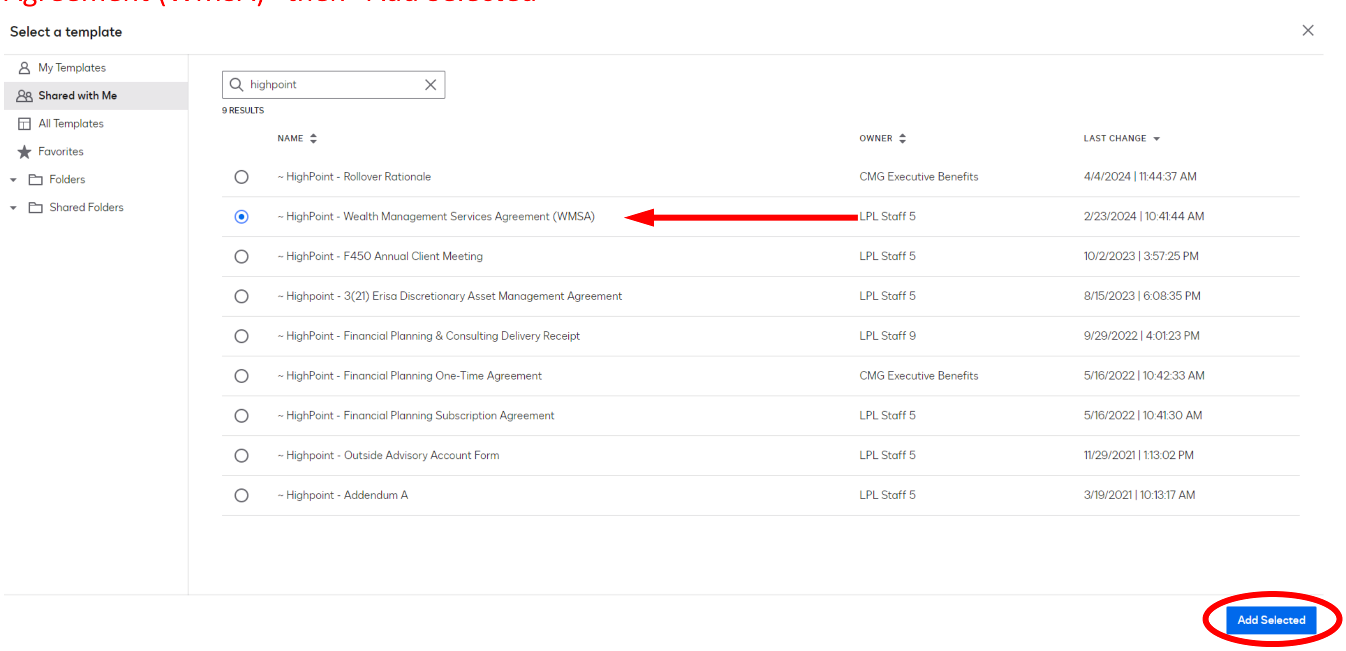
Step 3: Once in DocuSign, select start, envelopes, Use a Template



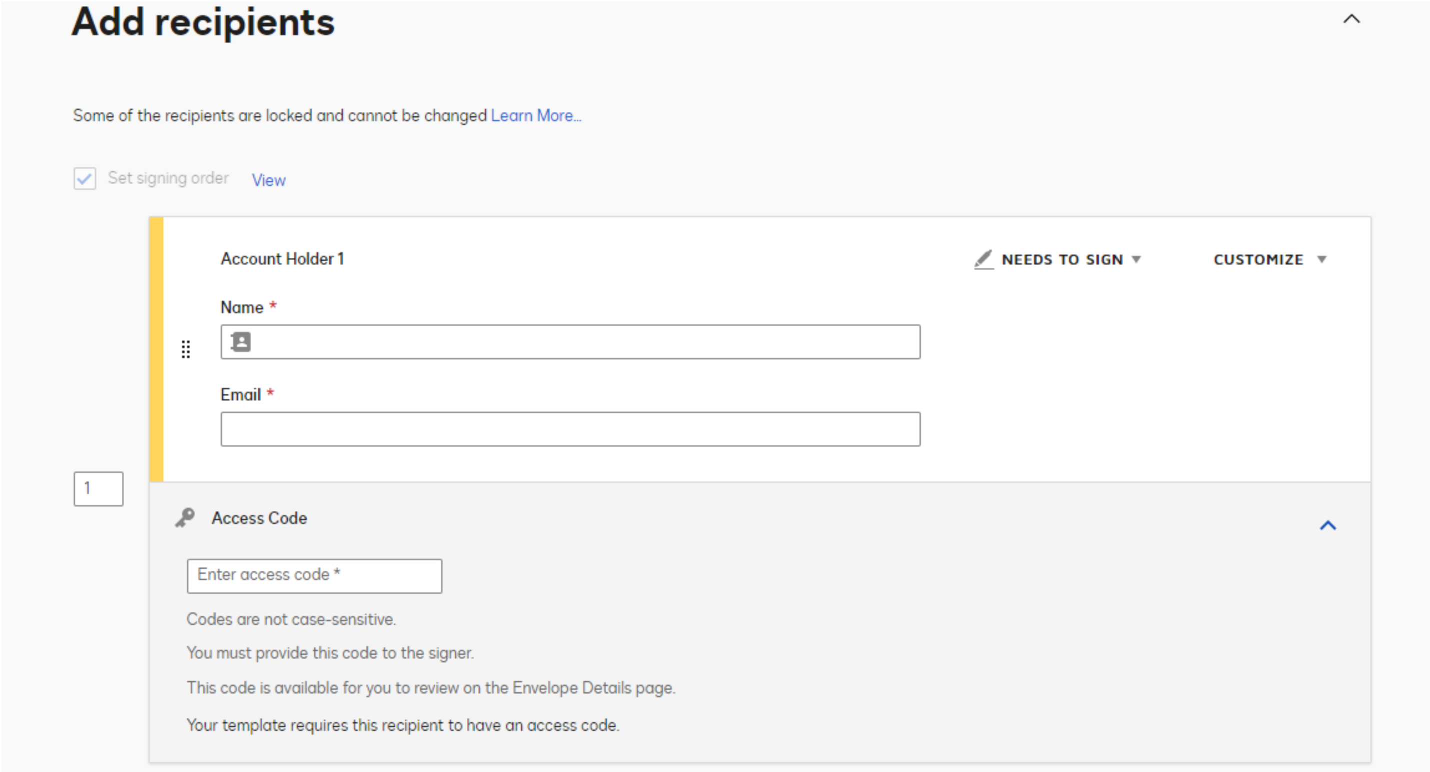
Step 4: Select "Shared with Me"



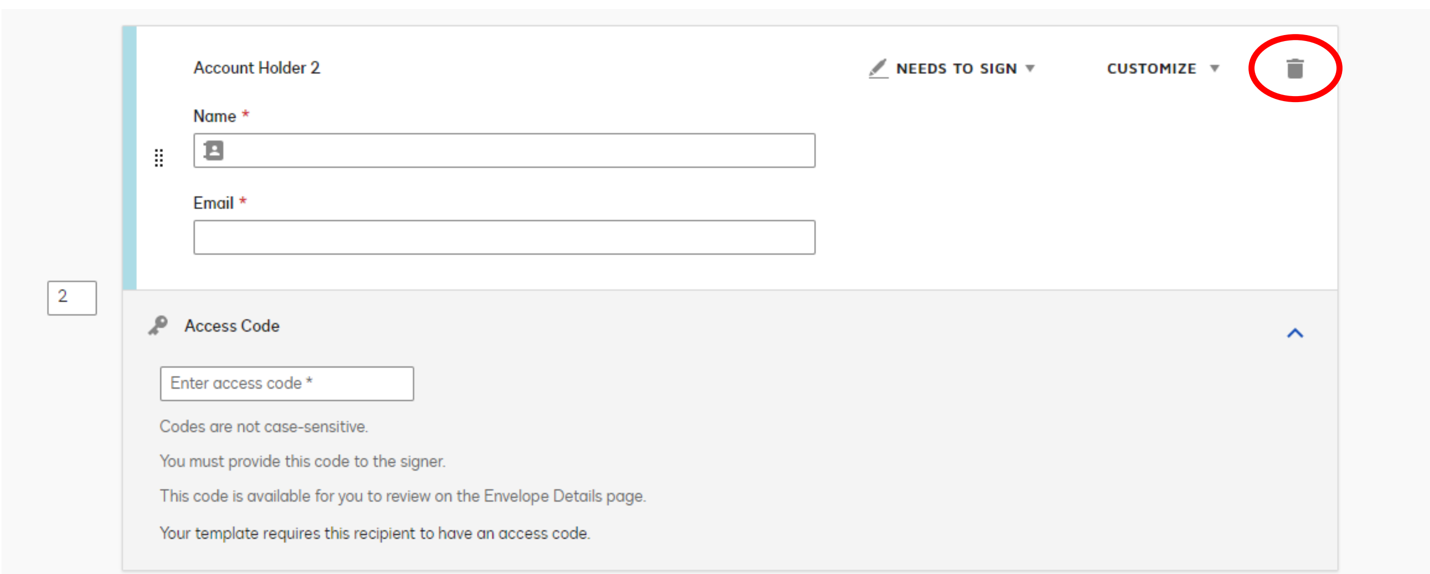
Step 5: Type HighPoint in search box, hit enter and select "Highpoint – Wealth Management Service Agreement (WMSA)" then "Add Selected"



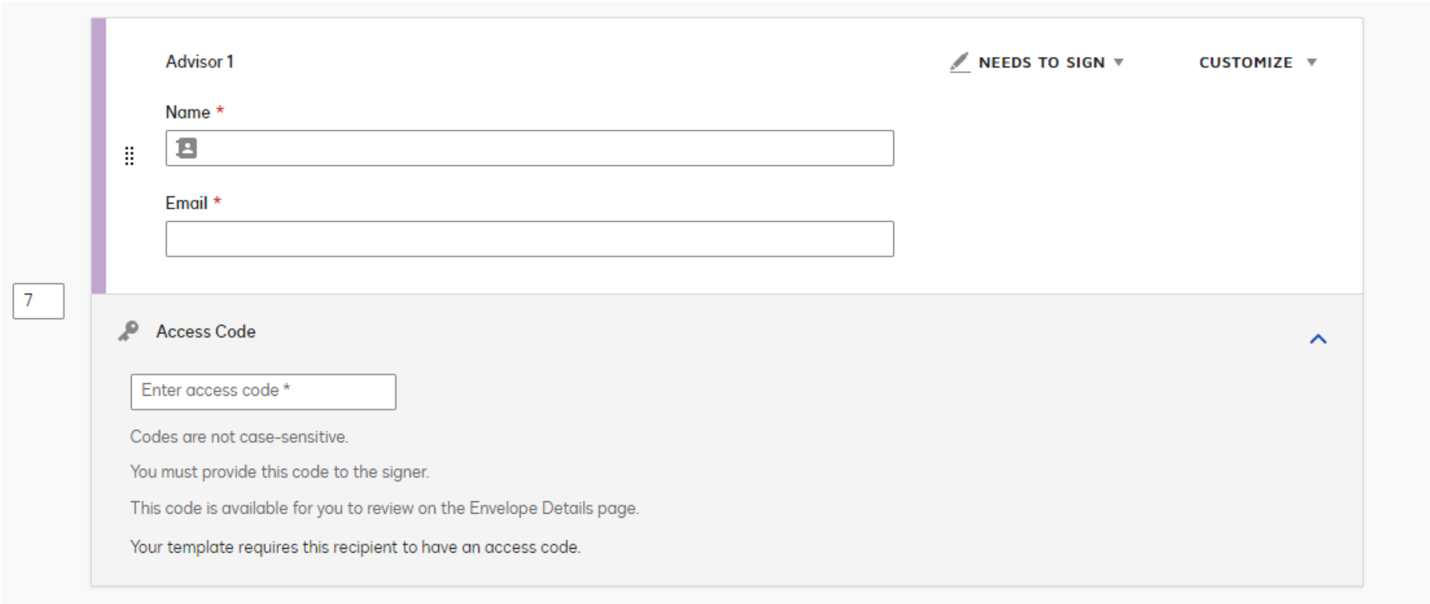
Step 6: Enter the recipient's information, client's name and email address. Next, add access authentication by entering the last 4 digits of the client's social security number.



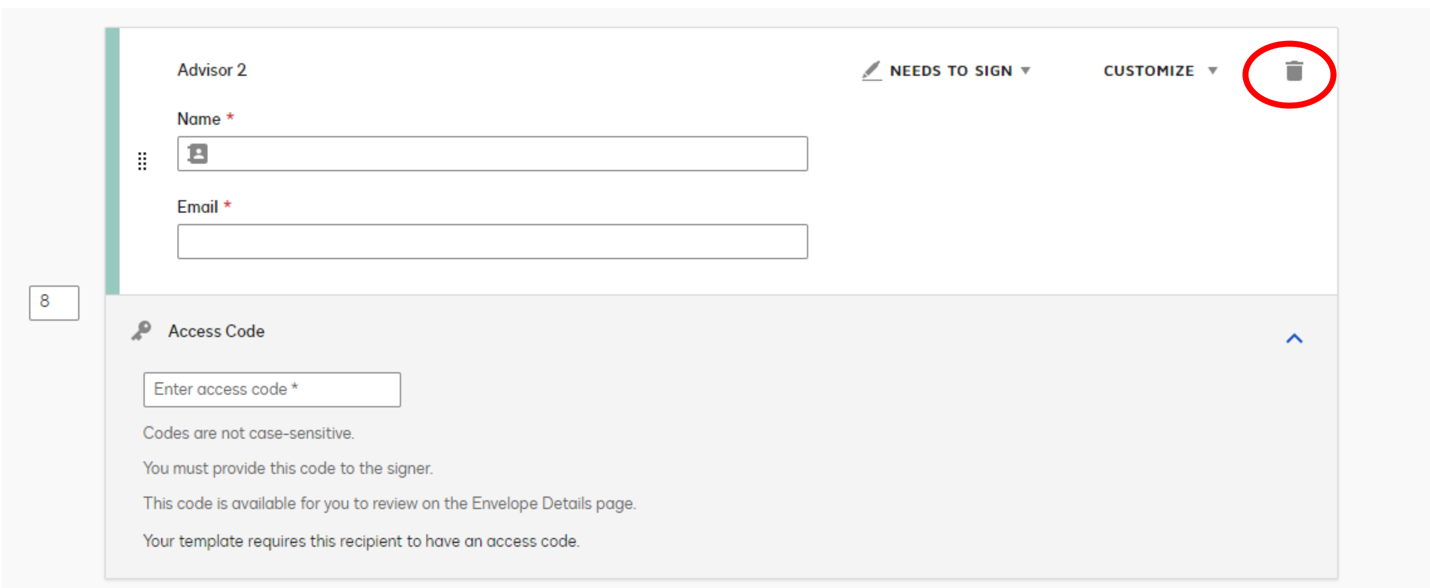
Step 7: (If Applicable) Repeat the same steps completed for the first client. If there is no second account holder, please delete Account Holder 2.



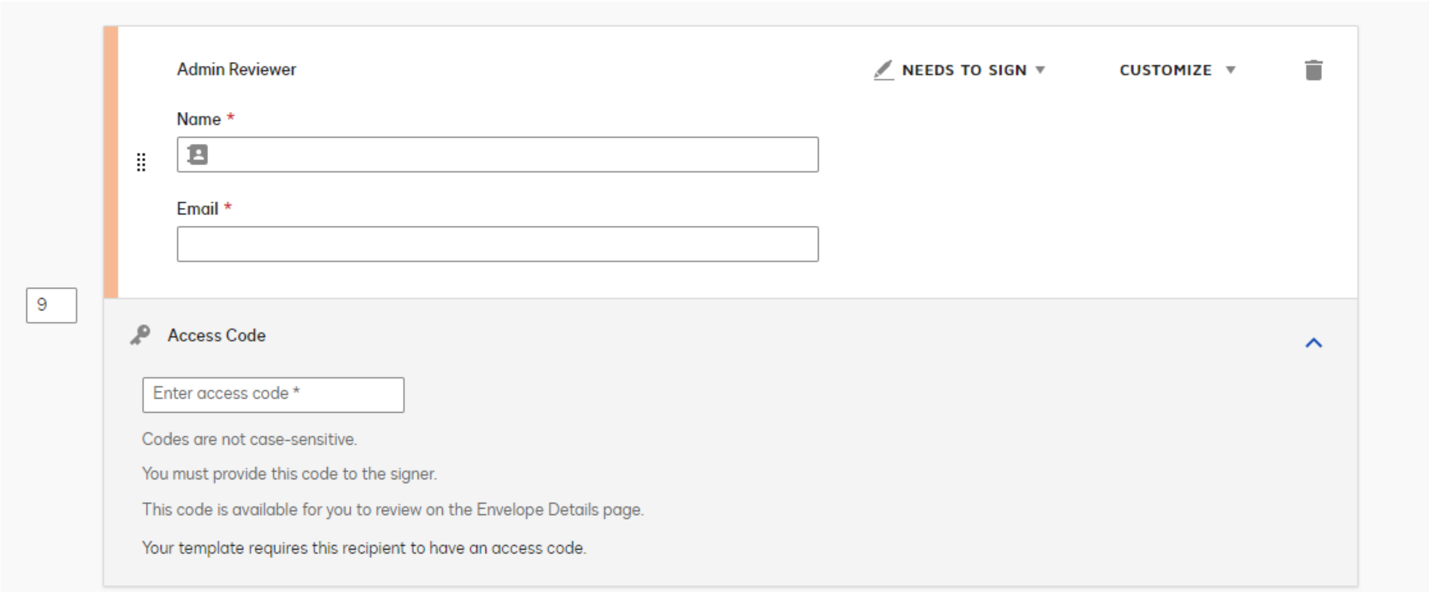
Step 8: Enter the advisor’s name and email address. Then, add access code by entering the last 4 digits of the advisor’s social security number.



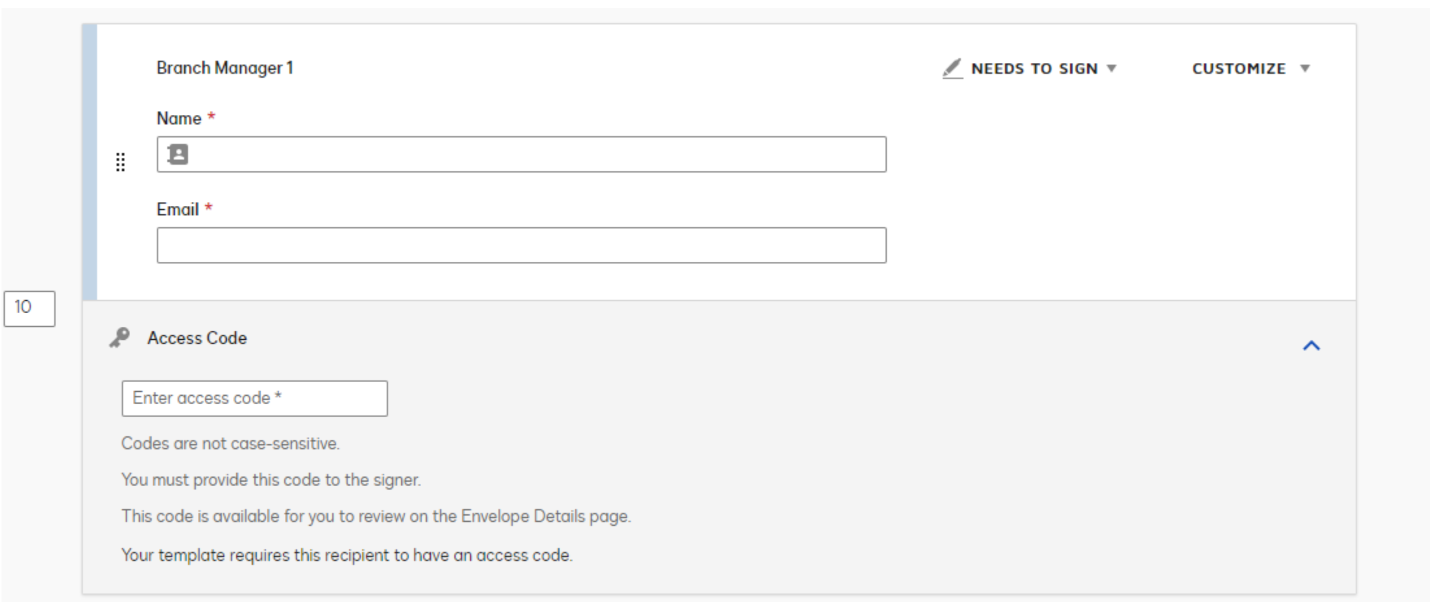
Step 9: (If Applicable) Repeat the same steps completed for the first advisor. If there is no second advisor, please delete Advisor 2.



Step 10: Enter Admin Reviewer's Name (WMSA Reviewer), email address (dama@hiptpartners.com) and access code (0219).



Step 11: Enter Branch Manager/OSJ Delegate Michelle Juras in the name field, enter email address (michelle.juras@hiptpartners.com) and access code (2651).



Step 12: Scroll down the page to “Add message”

Add message

Email Subject *

Please review & sign your document

Characters remaining: 66

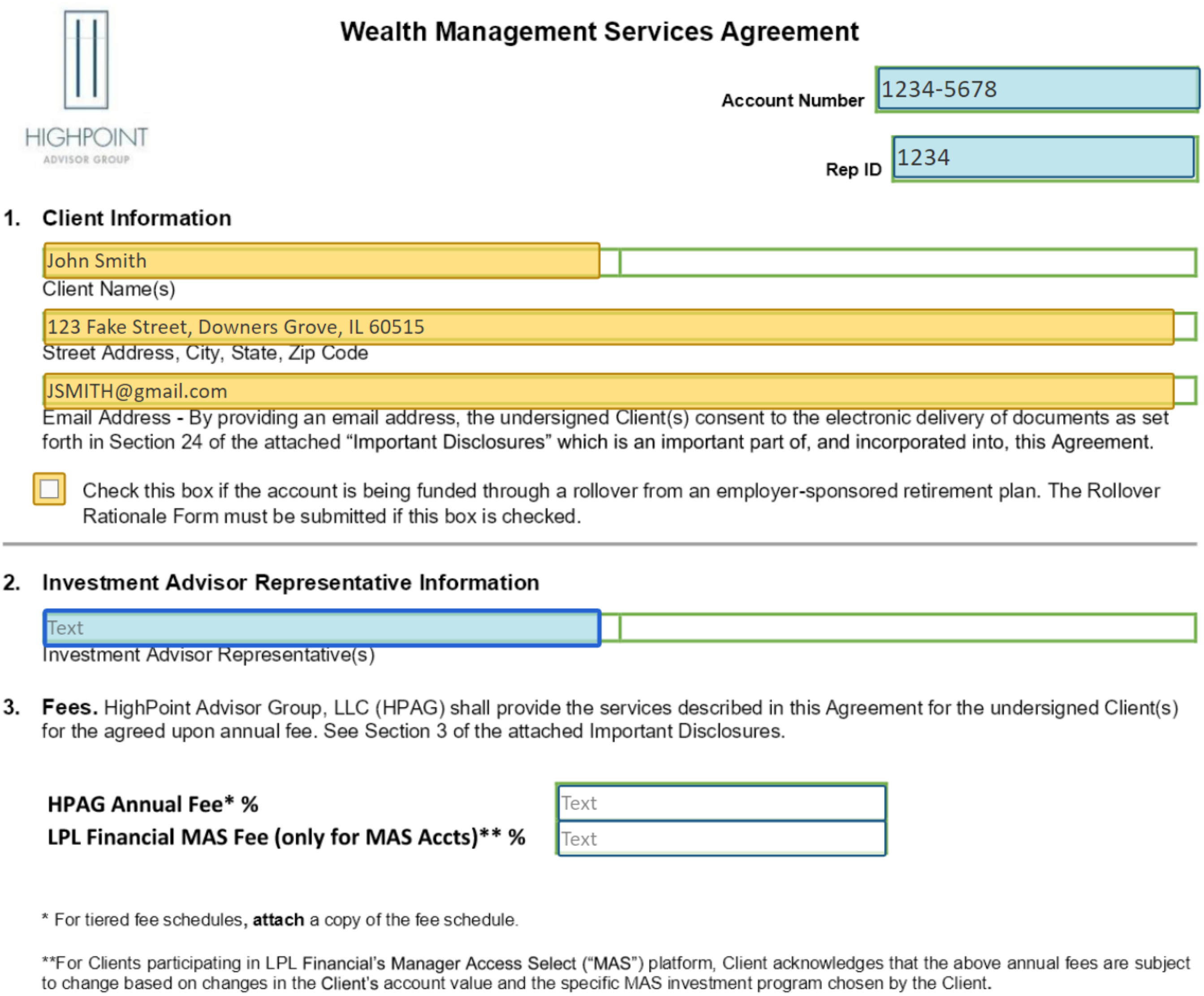
Email Message

Enter Message

Characters remaining: 10000

After all information is entered and a personalized message is added Select “NEXT” in the right-hand corner

Step 13: Fill in the missing areas, account number, Rep ID, client information; (name(s), address, and email address), advisor(s) and annual fee.



HIGHPOINT
ADVISOR GROUP

Wealth Management Services Agreement

Account Number 1234-5678

Rep ID 1234

1. Client Information

John Smith

Client Name(s)

123 Fake Street, Downers Grove, IL 60515

Street Address, City, State, Zip Code

JSMITH@gmail.com

Email Address - By providing an email address, the undersigned Client(s) consent to the electronic delivery of documents as set forth in Section 24 of the attached “Important Disclosures” which is an important part of, and incorporated into, this Agreement.

☐ Check this box if the account is being funded through a rollover from an employer-sponsored retirement plan. The Rollover Rationale Form must be submitted if this box is checked.

2. Investment Advisor Representative Information

Text

Investment Advisor Representative(s)

3. Fees. HighPoint Advisor Group, LLC (HPAG) shall provide the services described in this Agreement for the undersigned Client(s) for the agreed upon annual fee. See Section 3 of the attached Important Disclosures.

HPAG Annual Fee* % Text

LPL Financial MAS Fee (only for MAS Accts) %** Text

* For tiered fee schedules, **attach** a copy of the fee schedule.

**For Clients participating in LPL Financial’s Manager Access Select (“MAS”) platform, Client acknowledges that the above annual fees are subject to change based on changes in the Client’s account value and the specific MAS investment program chosen by the Client.

Step 15: Assure to check off the 'Discretionary Asset Management Services' on the second page, if this box is not checked off the WMSA will be rejected.

1. **Wealth Management Services.** Subject to the terms and conditions of this Agreement, HighPoint Advisor Group, LLC ("we") shall provide you with the following services ("Services") (please check each box as appropriate):

☑ **Discretionary Asset Management Services ("DAM Services"):** We have full and exclusive discretionary authority, without first consulting you, to purchase and/or sell the securities and other assets (collectively, "Assets") within your account ("Account") and, in that connection, to make determinations as to which Assets, including, but not limited to, stocks, bonds, mutual funds, index funds, exchange traded funds, and other securities and/or contracts relating to the same, on margin (if a separate written margin authorization has been granted), and short-term money-market instruments, where the Assets are to be bought or sold for your Account without obtaining your consent of or consulting with you in accordance with your investment needs, goals and objectives as communicated to us. You hereby appoint us as your attorney-in-fact and grant us limited power-of-attorney with discretionary trading authority over the Account to buy, sell, or otherwise effect investment transactions involving the Assets. You further acknowledge that (i) we are authorized, without seeking your prior consent or consulting with you, to consent to, or request any action, on the part of such corporations or other entities whose securities are held in the Account, and to participate in, reorganizations,

Step 16: Once everything has been completed, hit send.

4. **Acknowledgment and Completion.** By signing below, I acknowledge that I have received, read, understand, and agree to the terms of this Agreement including the attached Important Disclosures. I also understand and acknowledge receipt of the HPAG Form CRS, Privacy Notice, Form ADV Part 2A, Wrap Brochure (as applicable), and Brochure Supplement for the Investment Advisor Representative(s) providing the services under this Agreement. This Agreement must be filed concurrently with a corresponding custodial application containing information about suitability and client risk tolerance, such information incorporated into this Agreement. Section 14 describes arbitration provisions that may be enforced by both parties.

Sign	Full Name	Date Signed
Client Signature	Client Name (print)	Date
Joint Client Signature (if applicable)	Joint Client Name (print) (if applicable)	Date
Sign Investment Advisor Representative Signature	Full Name Investment Advisor Representative Name	Date Signed Date
Joint Investment Advisor Representative Signature (if applicable)	Joint Investment Advisor Representative Name (if applicable)	Date
Sign HPAG Authorized Signature	Full Name HPAG Authorized Name (print)	Date Signed Date

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BACK SEND