Trustmont Required Disclosures Delivery Confirmation Cover Sheet

Investor Name(s) ____

____

Date: ____

Type of Account ____

The following documents are required to be given to investors before or at the time of account opening. In addition, Form CRS is required to be given to investors before or at the time of a recommendation regardless of whether or not the recommendation is acted on. (Consult Trustmont's WSP's for more information.)

This form must be submitted to the home office with all new business paperwork (including change of broker/dealer) as well as additional investments into an account that is 25% of the existing value or $50,000+ whichever is lower. If a recommendation did not result in additional required paperwork, this form is to be retained at the branch office and made available to Compliance upon request.

☐ **Check here if recommendation DID NOT result in additional required paperwork**

Check below to verify you have provided all the following disclosure forms to your client/prospective client:

Trustmont Financial & Advisory

☐ Customer Relationship Summary (CRS)*
**if CRS is delivered in paper format as part of a package of documents, you must ensure that the CRS is the first among any documents that are delivered at that time.*

☐ Privacy Policy

☐ Customer Identification Program Notice

☐ SIPC Notice

☐ Business Continuity Plan

Trustmont Financial ONLY

☐ Regulation BI Disclosure Document

Trustmont Advisory ONLY

☐ ADV 2A

☐ ADV 2B

☐ Ethics Policy

Representative's Signature: ____

☐ Check here if documents are to be delivered via email**
***if the CRS is delivered electronically, it must be presented prominently as a direct link or in the body of the email itself*

I ________________________________, give Trustmont and the above representative/advisor the authorization to email me form CRS and all other disclosure documents to this email address ____.

________________________________ ________________________________

Investor Signature Date Investor Signature Date

Rev 11/28/2022