

For multi-advisor wealth management firms, asset managers, multi-family offices, and trust companies. Complete with CWCO-SUP-CORE, CWCO-SUP-DO, and CWCO-SUP-CYBER. Individual advisors use CWCO-SUP-FINADVISOR; private funds, CWCO-SUP-FUNDMGR; registered funds, CWCO-SUP-INVESTCO. Attach Form ADV Part 2A.

## 1 APPLICANT / BUSINESS INFORMATION

|                      |                      |                      |                      |
|----------------------|----------------------|----------------------|----------------------|
| LEGAL BUSINESS NAME  | DBA                  | FEIN                 | YEARS IN BUSINESS    |
| <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| BUSINESS ADDRESS     | CITY / STATE / ZIP   | WEBSITE              |                      |
| <input type="text"/> | <input type="text"/> | <input type="text"/> |                      |

**Entity type:**  
☐ Sole proprietor    ☐ Partnership    ☐ LLC    ☐ Corporation

|                          |                              |                               |
|--------------------------|------------------------------|-------------------------------|
| PRIMARY CONTACT / TITLE  | PHONE                        | EMAIL                         |
| <input type="text"/>     | <input type="text"/>         | <input type="text"/>          |
| SEC / STATE REGISTRATION | ASSETS UNDER MANAGEMENT (\$) | ADVISORS / PORTFOLIO MANAGERS |
| <input type="text"/>     | <input type="text"/>         | <input type="text"/>          |

## 2 FIRM PROFILE

**Services (check all that apply):**  
☐ Wealth management    ☐ Institutional asset management    ☐ Separately managed accounts    ☐ Family office services    ☐ Trust / fiduciary services  
☐ Retirement plan advisory (ERISA)    ☐ Model portfolios / TAMP    ☐ Tax & estate planning

|                      |                      |                           |                      |
|----------------------|----------------------|---------------------------|----------------------|
| CLIENT ACCOUNTS      | % DISCRETIONARY AUM  | LARGEST CLIENT (% OF AUM) | ANNUAL REVENUE (\$)  |
| <input type="text"/> | <input type="text"/> | <input type="text"/>      | <input type="text"/> |

2-1 Does the firm have custody of client assets beyond deducting fees? ☐ Yes ☐ No  
IF YES, EXPLAIN

2-2 Does the firm advise ERISA retirement plans as a fiduciary? ☐ Yes ☐ No  
IF YES, EXPLAIN

2-3 Has the firm acquired or merged with another advisory firm in the past 3 years, or is one planned? ☐ Yes ☐ No  
IF YES, EXPLAIN

2-4 Does the firm advertise performance results? ☐ Yes ☐ No  
IF YES, EXPLAIN

## 3 EXPOSURE & RISK QUESTIONS — TRADING, BILLING, CUSTODY & CLIENT DATA

SEC examiners are focused on fiduciary duty, fee accuracy, conflicts, and cybersecurity, and exam activity rose in 2026. Firm-level claims usually start with a trade error, a billing mistake, a custody lapse, or a client-data breach — which amended Reg S-P now requires firms to report to clients within 30 days.

3-1 Is there a written trade-error policy requiring clients to be made whole? ☐ Yes ☐ No  
IF NO, EXPLAIN

3-2 Are trades pre-checked against client restrictions and allocation policies? ☐ Yes ☐ No  
IF NO, EXPLAIN

3-3 Are advisory fees reconciled against client agreements at least annually? ☐ Yes ☐ No  
IF NO, EXPLAIN

3-4 If yes to 2-1, are surprise custody exams completed as required? ☐ Yes ☐ No  
IF NO, EXPLAIN

3-5 If yes to 2-4, is performance calculated and advertised in line with the SEC Marketing Rule? ☐ Yes ☐ No  
IF NO, EXPLAIN

3-6 Are all business communications, including texts and messaging apps, captured? ☐ Yes ☐ No  
IF NO, EXPLAIN

3-7 Does the firm have a written incident response program meeting amended Regulation S-P? ☐ Yes ☐ No  
IF NO, EXPLAIN

3-8 Are wire and distribution requests verified by phone with the client? ☐ Yes ☐ No  
IF NO, EXPLAIN

3-9 Is multi-factor authentication required on email, CRM, and custodian platforms? ☐ Yes ☐ No  
IF NO, EXPLAIN

3-10 If yes to 2-2, does the firm review plan fees and investment options on a documented schedule? ☐ Yes ☐ No  
IF NO, EXPLAIN

#### 4 GOVERNANCE

4-1 Is there a designated chief compliance officer? ☐ Yes ☐ No  
IF NO, EXPLAIN

4-2 Is an annual compliance program review completed and documented? ☐ Yes ☐ No  
IF NO, EXPLAIN

4-3 Are advisors' outside business activities disclosed and approved? ☐ Yes ☐ No  
IF NO, EXPLAIN

4-4 If yes to 2-3, were acquired firms' prior acts and open complaints reviewed before closing? ☐ Yes ☐ No  
IF NO, EXPLAIN

#### 5 COVERAGE & LOSS HISTORY

Attach currently valued loss runs for the last 5 years.

| INVESTMENT ADVISER E&O (\$) | D&O / FIDUCIARY LIMIT (\$) | CRIME / BOND LIMIT (\$) | CURRENT CARRIER / PREMIUM |
|-----------------------------|----------------------------|-------------------------|---------------------------|
| <input type="text"/>        | <input type="text"/>       | <input type="text"/>    | <input type="text"/>      |

5-1 Has a client complaint, arbitration, or lawsuit been filed in the past 5 years? ☐ Yes ☐ No  
IF YES, EXPLAIN

5-2 Has the SEC or a state regulator issued a deficiency letter or enforcement action? ☐ Yes ☐ No  
IF YES, EXPLAIN

5-3 Has coverage been declined, cancelled, or non-renewed in the past 3 years? ☐ Yes ☐ No  
IF YES, EXPLAIN

#### 6 SIGNATURE & FRAUD WARNING

The undersigned declares that the statements and answers given in this supplemental are true, complete and correct to the best of their knowledge, and that no material fact has been withheld or misstated. The applicant agrees that this supplemental, together with all ACORD applications and attachments, forms the basis of any submission to insurers and may be relied upon by them. Signing this supplemental does not bind coverage. This supplemental is an intake document prepared by Cory Washington & Co. LLC to support carrier submission; it does not itself provide coverage.

**FRAUD NOTICE: Any person who knowingly and with intent to defraud any insurance company or other person files an application for insurance containing any materially false information, or conceals for the purpose of misleading information concerning any fact material thereto, may be committing a fraudulent insurance act, which is a crime and may subject such person to criminal and civil penalties. State-specific fraud warnings appear on the insurer's application.**

|                                                   |                                     |                      |
|---------------------------------------------------|-------------------------------------|----------------------|
| APPLICANT / AUTHORIZED SIGNATURE (TYPE FULL NAME) | TITLE                               | DATE                 |
| <input type="text"/>                              | <input type="text"/>                | <input type="text"/> |
| PRODUCER — CORY WASHINGTON & CO. LLC              | PRODUCER SIGNATURE (TYPE FULL NAME) | DATE                 |
| <input type="text"/>                              | <input type="text"/>                | <input type="text"/> |