

For FINRA member broker-dealers. Complete with CWCO-SUP-CORE, CWCO-SUP-CYBER, and CWCO-SUP-DO. Advisory-only firms use CWCO-SUP-FINADVISOR or CWCO-SUP-WEALTHMGMT. Attach the latest FOCUS report and Form BD. Regulatory fines are generally not insurable.

1 APPLICANT / BUSINESS INFORMATION

LEGAL BUSINESS NAME	DBA	FEIN	YEARS IN BUSINESS
BUSINESS ADDRESS	CITY / STATE / ZIP	WEBSITE	

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

PRIMARY CONTACT / TITLE	PHONE	EMAIL
FINRA CRD NUMBER	REGISTERED REPRESENTATIVES	BRANCH OFFICES

2 BUSINESS LINES

Business lines (check all that apply):
☐ Retail brokerage ☐ Institutional sales & trading ☐ Investment banking / underwriting ☐ Private placements ☐ Variable annuities / insurance
☐ Clearing / self-clearing ☐ Market making ☐ Crypto-related products

CUSTOMER ACCOUNTS	% REPS INDEPENDENT CONTRACTORS	ANNUAL REVENUE (\$)

2-1 Are any registered representatives independent contractors in their own offices? ☐ Yes ☐ No
 IF YES, EXPLAIN

2-2 Does the firm sell private placements? ☐ Yes ☐ No
 IF YES, EXPLAIN

2-3 Is the firm self-clearing or does it hold customer funds or securities? ☐ Yes ☐ No
 IF YES, EXPLAIN

2-4 Is the firm dually registered as an investment adviser? ☐ Yes ☐ No
 IF YES, EXPLAIN

3 EXPOSURE & RISK QUESTIONS — RECORDS, RECOMMENDATIONS & SUPERVISION

FINRA's 2026 oversight report flags recordkeeping lapses more than 50 times. The SEC fined more than 100 firms over \$2.2 billion for uncaptured texts and messaging apps, and FINRA kept going in 2025–2026 — including a \$1.3 million sanction after 10,000+ client messages went unretained, and a 2026 bar.

3-1 Are all business communications, including texts and messaging apps, captured and retained? ☐ Yes ☐ No
 IF NO, EXPLAIN

3-2 Is the firm actively monitoring for use of unapproved communication channels? ☐ Yes ☐ No
 IF NO, EXPLAIN

3-3 Are written Reg BI procedures in place for retail recommendations? ☐ Yes ☐ No
 IF NO, EXPLAIN

3-4 Is Form CRS delivered to every retail customer as required? ☐ Yes ☐ No
 IF NO, EXPLAIN

3-5 Do complex products (non-traded REITs, structured notes, leveraged ETFs) require supervisory approval? ☐ Yes ☐ No
 IF NO, EXPLAIN

3-6 If yes to 2-2, is reasonable-investigation due diligence documented for every private placement? ☐ Yes ☐ No
 IF NO, EXPLAIN

3-7 Are trusted contact persons requested for every retail account?	☐ Yes ☐ No
IF NO, EXPLAIN	
3-8 Are there written procedures for suspected exploitation of senior investors?	☐ Yes ☐ No
IF NO, EXPLAIN	
3-9 Are outside business activities and private securities transactions disclosed and approved?	☐ Yes ☐ No
IF NO, EXPLAIN	
3-10 If yes to 2-1, are independent branches inspected on the required schedule?	☐ Yes ☐ No
IF NO, EXPLAIN	
3-11 Are vendors with access to customer data reviewed for cybersecurity?	☐ Yes ☐ No
IF NO, EXPLAIN	
3-12 Are wire and distribution requests verified by phone with the customer?	☐ Yes ☐ No
IF NO, EXPLAIN	

4 REGULATORY & FINANCIAL

4-1 Does the fidelity bond meet FINRA Rule 4360 requirements?	☐ Yes ☐ No
IF NO, EXPLAIN	
4-2 Has the firm been in continuous net capital compliance for the past 3 years?	☐ Yes ☐ No
IF NO, EXPLAIN	
4-3 Are any FINRA or SEC examination findings unresolved?	☐ Yes ☐ No
IF YES, EXPLAIN	

CUSTOMER ARBITRATIONS — PAST 5 YEARS (COUNT)

PENDING ARBITRATIONS / AMOUNT CLAIMED (\$)

5 COVERAGE & LOSS HISTORY

Attach currently valued loss runs for the last 5 years.

BROKER-DEALER E&O LIMIT (\$)	FIDELITY BOND LIMIT (\$)	CYBER LIMIT (\$)	CURRENT CARRIER / PREMIUM
5-1 Has a regulator taken formal action against the firm or a representative in the past 5 years?			
☐ Yes ☐ No			
IF YES, EXPLAIN			
5-2 Has a customer lost money through fraud, theft, or account takeover at the firm?			
☐ 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
PRODUCER — CORY WASHINGTON & CO. LLC	PRODUCER SIGNATURE (TYPE FULL NAME)	DATE