CORY WASHINGTON & CO.

SMARTER RISK. STRONGER BUSINESS.

CWCO-SUP-FINADVISOR Rev. 09-2026

FINANCIAL ADVISOR SUPPLEMENTAL

Covers registered investment advisers, financial planners, and registered representatives of broker-dealers. CPA firms use CWCO-SUP-ACCOUNTING; insurance agencies CWCO-SUP-INSAGENCY. Complete with ACORD 125. Attach Form ADV Part 2A (if an RIA).

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

SEC / STATE RIA REGISTRATION NO. | CRD NO. (FIRM) | ASSETS UNDER MANAGEMENT ($)

2 OPERATIONS

SERVICE / PRODUCT	% OF REVENUE

Services: discretionary asset management; financial planning; retirement plan advice (ERISA); brokerage commissions; annuities and insurance products; alternative investments; other.

ADVISORS | CLIENT HOUSEHOLDS | CLIENTS AGE 65+ (%) | BROKER-DEALER / CUSTODIAN

2-1 Does the firm have discretionary authority over client accounts? ☐ Yes ☐ No

IF YES, EXPLAIN

2-2 Does the firm have custody of client assets beyond fee deduction? ☐ Yes ☐ No

IF YES, EXPLAIN

2-3 Does the firm recommend private placements, alternatives, or leveraged products? ☐ Yes ☐ No

IF YES, EXPLAIN

3 EXPOSURE & RISK QUESTIONS — SUITABILITY, SENIOR CLIENTS & DATA SECURITY

Unsuitable recommendations and losses among older clients drive advisor E&O claims. Since June 3, 2026, smaller advisory firms must also meet amended Regulation S-P: a written incident response program, customer breach notice within 30 days, and oversight of service providers.

3-1 Is a documented risk profile and investment objective kept for every client? ☐ Yes ☐ No

IF YES, EXPLAIN

3-2 Are client risk profiles updated at least every 3 years or after major life changes? ☐ Yes ☐ No

IF YES, EXPLAIN

3-3 Are recommendations reviewed by a supervisor or compliance for suitability or best interest? ☐ Yes ☐ No

IF YES, EXPLAIN

3-4 Is there a written procedure for senior clients, including trusted contacts and exploitation reporting? ☐ Yes ☐ No

IF YES, EXPLAIN

3-5 Does the firm have a written incident response program meeting amended Regulation S-P? ☐ Yes ☐ No
IF YES, EXPLAIN

3-6 Can the firm notify affected clients within 30 days of a data breach? ☐ Yes ☐ No
IF YES, EXPLAIN

3-7 Are service providers with client data under contracts requiring breach notice to the firm? ☐ Yes ☐ No
IF YES, EXPLAIN

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

3-9 Is the applicant currently, or has it previously been, insured on a claims-made professional liability policy? ☐ Yes ☐ No
IF YES, EXPLAIN

3-10 Has any professional liability carrier declined, cancelled, or non-renewed the applicant? ☐ Yes ☐ No
IF YES, EXPLAIN

3-11 Does every professional complete the continuing education their license requires? ☐ Yes ☐ No
IF YES, EXPLAIN

3-12 Are client files kept under a written retention policy? ☐ Yes ☐ No
IF YES, EXPLAIN

3-13 Has the firm or an advisor had a customer complaint, arbitration, or regulatory action? ☐ Yes ☐ No
IF YES, EXPLAIN

CURRENT PL / E&O CARRIER	RETROACTIVE DATE	LIMIT / DEDUCTIBLE

4 EXPOSURE & RISK QUESTIONS — DISCRETION, ALTERNATIVES & MARKETING

4-1 If yes to 2-1, are trades monitored for concentration and trading outside client objectives? ☐ Yes ☐ No
IF YES, EXPLAIN

4-2 If yes to 2-3, is due diligence documented on every alternative product recommended? ☐ Yes ☐ No
IF YES, EXPLAIN

4-3 Are marketing materials, including testimonials and performance, reviewed for SEC Marketing Rule compliance? ☐ Yes ☐ No
IF YES, EXPLAIN

4-4 Are all business communications (including texts) captured on approved systems? ☐ Yes ☐ No
IF YES, EXPLAIN

5 REVENUE

ANNUAL GROSS REVENUE ($)	ADVISORY FEE REVENUE ($)	COMMISSION REVENUE ($)

6 PRIOR INSURANCE & LOSS HISTORY

Attach currently valued loss runs for the last 5 years.

CYBER CARRIER / LIMITS	FIDELITY BOND / CRIME LIMIT	BROKER-DEALER E&O PROGRAM (Y / N)

6-1 Has any carrier declined, cancelled, or non-renewed coverage in the last 5 years? ☐ Yes ☐ No

IF YES, EXPLAIN

DATE OF LOSS	DESCRIPTION	TOTAL INCURRED ($)	OPEN / CLOSED

6-2 Is the applicant aware of any incident, complaint, or circumstance not yet resulting in a claim that could reasonably give rise to one? ☐ Yes ☐ No

IF YES, EXPLAIN

7 RISK MANAGEMENT

7-1 Is there a designated chief compliance officer? ☐ Yes ☐ No

IF YES, EXPLAIN

7-2 Is an annual compliance program review completed and documented? ☐ Yes ☐ No

IF YES, EXPLAIN

7-3 Is multi-factor authentication required on email, CRM, and custodian platforms? ☐ Yes ☐ No

IF YES, EXPLAIN

8 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, commits a fraudulent insurance act, which is a crime and subjects such person to criminal and civil penalties. (State-specific fraud warnings apply; see state amendatory notice.)

APPLICANT / AUTHORIZED SIGNATURE (TYPE FULL NAME)	TITLE	DATE

PRODUCER — CORY WASHINGTON & CO. LLC	PRODUCER SIGNATURE (TYPE FULL NAME)	DATE