



COASTAL INVESTMENT ADVISORS SOLICITOR PROGRAMS

PROCEDURES

ESTABLISHING A NEW SOLICITOR RELATIONSHIP

The first step is to come to an arrangement with your prospective referral source or solicitor and complete and execute the Coastal Investment Advisors Solicitor Agreement.

It is the Financial Adviser's responsibility to ensure that the Solicitor is aware of the terms of the Agreement and the process to successfully and compliantly refer business to you under this arrangement. Please sign and date as the investment adviser representative of Coastal Investment Advisors, Inc.

Once the agreement is fully executed, please forward the document to compliance@coastal-one.com

If the document is in good order, the document will be processed internally and kept on file. You must maintain the wet-ink signature document in your own file at your branch.

NEXT STEP – YOUR FIRST REFERRAL FROM THE NEW SOLICITOR

Once you receive your first referral, contact operations@coastal-one.com using the subject line: REP CODE REQUEST – NEW SOLICITOR BUSINESS in order to establish a new Rep Code in our system. You must also acquire a W-9 and Direct Deposit Form from the Solicitor, and forward the completed documents to accounting@coastal-one.com with the subject line: NEW SOLICITOR W9/DEPOSIT INFORMATION. Blank W-9 and Direct Deposit forms may be acquired on Coastal's website under the 'RIA Rep Forms' tab.

Once the Rep Code is assigned, all business referred to you by this Solicitor must be processed under this newly assigned Rep Code in order to ensure the account is billed correctly to both you and your Solicitor.

NEW REFERRALS FOR EXISTING SOLICITOR RELATIONSHIPS

Please forward the advisory account package and Client Disclosure Statement (Exhibit A to the Solicitor Agreement) under the proper Rep Code to newaccounts@coastal-one.com. No further action should be needed in regard to the Solicitor relationship. **If you do not place the proper Rep Code on the business, your solicitor will not be properly compensated.**

TERMINATED SOLICITOR AGREEMENTS

Terminations must be in writing. If you or the Solicitor end the arrangement, please forward the written termination to compliance@coastal-one.com and accounting@coastal-one.com with the subject line: Solicitor Termination.