

## RIA ATTESTATION

We are reaching out to you to verify if you have had any client interaction with the below accounts in the past 12 months. Please indicate if you have had contact with the client by filling in the last column with "Y" for Yes, have contacted or "N" for No, have not contacted. If we do not receive a confirmation from you by MM/DD/YYYY, we will have to initiate the escheatment process for these accounts.

By submitting this spreadsheet, you are confirming that contact was successfully made with all clients marked 'Y'es, and the client reciprocated the communication. This spreadsheet formally records that the communication exchange happened as of <<DATE>>. Your attestation, recorded using this spreadsheet, will exclude these accounts from escheatment processing **for the next 3 years** and will be used as part of the Firm's legal review when determining the escheatment eligibility of the account.

Account ID	Account Name	Account Type	Primary Representative on the account	Customer contacted in past 12 months (Y/N)
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