



Firm Disclosure Language

All stationery items must include a Firm disclosure that identifies the products and services offered. In addition to clarifying what unaffiliated entity is offering outside business activities. We recommend you maintain separate marketing materials for business not offered through the Firm. However, you are permitted to "co-brand" outside activities as long as its clearly present within the Firm disclosure that identifies the entity through which such outside services are offered.

If third-party entities are held out, a statement must be included in the disclosure advising the entity is not affiliated with the Firm. For business cards, the Firm disclosure can appear on the back of the card.

Required disclosure language will vary depending on the products offered by your individual registrations. **Please be certain to bold the full Firm name and any abbreviation of that name with the disclosure copy.**

Please refer to your advisor portal to confirm your Osaic transition date; prior to your Firm Osaic transition date you must use your existing disclosure. Because firm names and disclosures will need to be updated in coordination with your transition to Osaic, we recommend ordering materials with existing information sparingly. After your firms' transition date, you may brand Osaic.

Additional resources and guidance can be found in the Compliance Manual. Contact the Advertising Supervision Department direct at 855-261-3179 or advertising@osaic.com or your FLS with questions.

Disclosure Samples:

Registered Representative

Securities offered through **Osaic Wealth, Inc.** member FINRA/SIPC. **Osaic Wealth** is separately owned and other entities and/or marketing names, products or services referenced here are independent of **Osaic Wealth**.

Corporate IAR

Securities and investment advisory services offered through **Osaic Wealth, Inc.** member FINRA/SIPC. **Osaic Wealth** is separately owned and other entities and/or marketing names, products or services referenced here are independent of **Osaic Wealth**.

Independent IAR

Securities offered through **Osaic Wealth, Inc.** member FINRA/SIPC. Investment advisory services offered through [Insert Independent RIA Name]. **Osaic Wealth** is separately owned and other entities and/or marketing names, products or services referenced here are independent of **Osaic Wealth**.

Dual IAR

Securities and investment advisory services offered through **Osaic Wealth, Inc.** member FINRA/SIPC. Additional advisory services offered through [Insert Independent RIA Name]. **Osaic Wealth** is separately owned and other entities and/or marketing names, products or services referenced here are independent of **Osaic Wealth**.



Registered Assistant

Securities offered through **Osaic Wealth, Inc.** member FINRA/SIPC. **Osaic Wealth** is separately owned and other entities and/or marketing names, products or services referenced here are independent of **Osaic Wealth**.

Note: Non-Registered Assistant's (NRA) firm disclosure should model that of the financial professionals they support. Below is an example of a NRA who supports a Registered Representative of the firm.

Non-Registered Assistant (NRA)

[Name of NRA] is an assistant to [Name of Registered Representative] who offers securities through **Osaic Wealth, Inc.** member FINRA/SIPC. **Osaic Wealth** is separately owned and other entities and/or marketing names, products or services referenced here are independent of **Osaic Wealth**.

If the Assistant supports multiple financial professionals in the branch the below disclosure may be used:

[Name of NRA] is an assistant to the registered representatives who offers securities through **Osaic Wealth, Inc.** member FINRA/SIPC. **Osaic Wealth** is separately owned and other entities and/or marketing names, products or services referenced here are independent of **Osaic Wealth**.

Osaic Institutions Independent Representatives

Securities offered through **Osaic Institutions, Inc.**, Member FINRA/SIPC.

Osaic Institutions Non-Private Label Independent/Franchise Programs

Investment and insurance products and services are offered through **Osaic Institutions, Inc.**, Member FINRA/SIPC. Products and services made available through **Osaic Institutions** are not insured by the FDIC or any other agency of the United States and are not deposits or obligations of nor guaranteed or insured by any bank or bank affiliate. These products are subject to investment risk, including the possible loss of value.

Osaic Institutions Private Label Independent/Franchise Programs

Investment and insurance products and services are offered through **Osaic Institutions, Inc.**, Member FINRA/SIPC. **Osaic Institutions** and the [insert program name] are not affiliated. Products and services made available through **Osaic Institutions** are not insured by the FDIC or any other agency of the United States and are not deposits or obligations of nor guaranteed or insured by any bank or bank affiliate. These products are subject to investment risk, including the possible loss of value.