

# DOL Fiduciary Rule Agent Attestation

Agent:		Client:	
Date:		Carrier:	
		Product:	

I attest to the following regarding my recommendation to the retirement client named above:

1. I have acted in the client’s best interest.
2. I have not made any misleading statements to the client.
3. I have disclosed to the client any material conflicts of interest.
4. I have disclosed to the owner the commission to be received by me for this transaction.
5. I have provided to the client a description of all charges associated with my recommendation
6. I have provided my client with the information needed to make an informed decision.
7. I have used only approved sales literature.
8. While I understand that the Best Interest Contract is between my Financial Institution (SFAS) and my client, I understand that I am wholly responsible and liable for my actions and for acting within the scope of my Firm’s compliance rules and regulations and the DOL Fiduciary ruling.

The following documents are enclosed as documentation for this sale:

- ✓ Client Suitability Profile Form
- ✓ Best Interest Contract

Agent Signature:		Date:	
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