

**VENDOR VERIFICATION FORM**

**You are required to complete this form if your product and/or service is new to NAPFA.**

This form should be mailed to:

NAPFA, 3250 N. Arlington Heights Rd, Suite 109, Arlington Heights, IL 60004 **along with the appropriate materials listed below. A non-refundable \$250 processing fee must be included.**

COMPANY \_\_\_\_\_

ADDRESS \_\_\_\_\_

PHONE \_\_\_\_\_

FAX \_\_\_\_\_

E-MAIL \_\_\_\_\_

WEB ADDRESS \_\_\_\_\_

CONTACT NAME \_\_\_\_\_

Year In Which Company Was Established \_\_\_\_\_

State In Which Company Is Domiciled \_\_\_\_\_

**Please check the items you will be sending:**

- Letter describing your company's program and compensation issues (if any)
- Marketing Materials
- Prospectus (if applicable)
- Offering Memorandums (if applicable)
- Form ADV (if applicable)
- Blue Sky List (if applicable)

If your company's products and/or services fail to comply with NAPFA's "Vendor and Exhibitor Application Standards", any deposit made to NAPFA (other than the \$250 processing fee) shall be refunded to you.

## VENDOR and EXHIBITOR APPLICATION STANDARDS

Please review the following vendor standards to be certain that your company's products and/or services satisfy these requirements.

Each Vendor/Exhibitor (applicant) shall be carefully reviewed and assessed for acceptance. Standards to be applied shall include without limitation, the following:

1. The applicant's product and/or services must conform to NAPFA's definition of acceptable compensation guidelines for fee-only advisors. NAPFA's definition of a fee-only advisor is: *An advisor who is compensated solely by the client, with neither the advisor nor any related party receiving compensation which is contingent upon the purchase or sale of financial products.*
2. The applicant, its predecessor or affiliated organizations, or its controlling principals must have been in business at least 2 years and have a demonstrable financial and business strength and success in activities associated with the financial services industry.
3. Applicant, its predecessor or affiliated organizations, and its controlling principals must not have been (a) convicted, or (b) found to have committed, or (c) consented to the entry of relief against it or them involving violations of state or federal law relating to business activities.
4. Applicant's principals and officers must not have been convicted of a felony.
5. Applicant, its predecessor or affiliated organizations, and its controlling principals must not be subject to pending charges by state or federal regulatory or law enforcement agencies on a significant matter associated with business activities.
6. The applicant, its predecessor or affiliated organizations, and its controlling principals shall not have:
  - a) failed to pay exhibit fee or other debts due NAPFA on timely basis,
  - b) falsified or failed to include with original application or updated material any information relating to the integrity of the applicant or regulatory or enforcement actions,
  - c) engaged in false or misleading advertising or made exaggerated or misleading claims about the financial planning products or services.

Please complete the vendor verification form and enclose a \$250 check payable to NAPFA. This is a non-refundable processing fee.

All products and services are subject to prior acceptance by NAPFA. If a product or service has been previously accepted it need not be resubmitted. **Acceptance for advertising or exhibiting does not in any way imply endorsement by NAPFA. Exhibitors and advertisers may not utilize the NAPFA verification/acceptance process in any way to state or imply an endorsement of its products or services by NAPFA.**