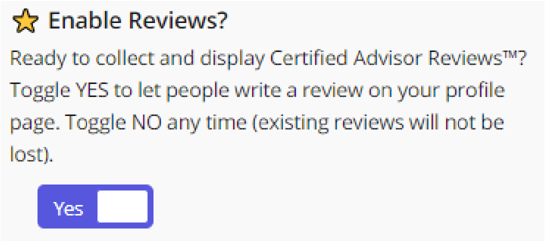
Quick Start Checklist: Certified Advisor Reviews™

This checklist is for SEC registered investment advisors interested in getting started quickly and compliantly with Certified Advisor Reviews™ to grow their business.

	Action Items	Lead	Resources from Wealthtender
☐	Update your firm policies and procedures to comply with new SEC Marketing rule 206(4)-1	Compliance Officer	Use this [editable policies and procedures template]() from Wealthtender as a starting point for inclusion with your updates.
☐	Educate staff on SEC Marketing rule; updated firm policies and procedures	Compliance Officer	Ask your staff to read your new policies and procedures; Encourage staff to read the [Wealthtender Online Reviews Playbook]()
☐	Toggle reviews feature to the ***on*** position for each advisor profile page on Wealthtender	Financial Advisors	
☐	Send email to ***all*** current clients inviting them to write a review	Financial Advisors	Download this [email outreach template]() designed to tactfully ask for a review

Congratulations! Next, when clients submit reviews on your Wealthtender profile page (or on your firm's website using your embeddable widget from Wealthtender), **here's what happens**:

- Reviews are **not** immediately posted publicly (pending the following certification process)
- Wealthtender notifies you by email of your new review, including all relevant details
- Use the [Online Review Pre-Publication Checklist]() from Wealthtender as a guide to SEC compliance
- Within 5 days, simply **reply with the information outlined in the checklist**, including:
  - Is the reviewer a client of your firm? Or a non-client (e.g. peer, professional acquaintance)
  - Was the reviewer compensated for their review?
  - Are there any material conflicts of interest?
  - Any additional disclosures? (refer to the checklist for guidance)
- Upon receipt, Wealthtender publishes the review with the Certified Advisor Review™ mark formatted for compliance with the SEC Marketing rule.

You're off to a great start! Now, Wealthtender can promote your Certified Advisor Reviews to help you attract your ideal clients and grow your business.