



**TECHNOLOGY GATEWAY DISCLOSURE STATEMENT**

**Background**

- Your Financial Professional has the ability to use various Technology Services Providers (**TSPs**) to provide client services such as financial planning, portfolio management services, client reporting, client relationship management and document storage. When your Financial Professional utilizes these TSPs, their features may be accessible to you through a website, a mobile app and/or a client portal.
- Financial Professionals are required to provide you a *gateway disclosure* before utilizing such TSPs. This form is designed to satisfy the *gateway disclosure* by informing you of your Financial Professional’s securities industry affiliations.
- To access a TSP, you will need login credentials (username and password). Your Financial Professional will provide you with login credentials or will initiate the process to have login credentials issued to you.

**Securities Industry Affiliations**

- For securities business, your Financial Professional is a Registered Representative with United Planners, FINRA/SIPC Member.
- For investment advisory business, your Financial Professional is one of the following:

<input checked="" type="checkbox"/>	Investment Advisor Representative of United Planners, a Registered Investment Advisory Firm, registered with the SEC.
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**OR**

<input type="checkbox"/>	Investment Advisor Representative of an Independent Registered Investment Advisory Firm (registered with the SEC or State). This Independent Registered Investment Advisory Firm is not affiliated with United Planners. The name of your Financial Professional’s Independent Registered Investment Advisory Firm is: _____.
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**DBA Names (Doing Business As)**

In some cases, your Financial Professional may utilize a DBA which is a common practice in the financial services industry. While your Financial Professional is affiliated with United Planners, his/her DBA is not. If your Financial Professional utilizes a DBA, the name of that DBA is:  
 REW Financial \_\_\_\_\_.

**Client Signature Block**

By Signing below, I acknowledge that I have read and understand this Technology Gateway Disclosure Statement.

Name: \_\_\_\_\_ / Signature: \_\_\_\_\_ / Date: \_\_\_\_\_