



Representative Solicitor Compliance Certification Form

As an Investment Adviser registered with the Securities and Exchange Commission (the "SEC"), Atlas Capital Management Corporation is prohibited from making referral payments, directly or indirectly, to a solicitor if the recipient is subject to a statutory disqualification. The series of questions below applies to all persons who may be deemed solicitors or promoters under Rule 206(4)-1 of the Investment Advisers Act of 1940. As a condition to your continued receipt of referral fees, please answer the following and attach a separate explanation sheet if a detailed explanation is necessary.

LEGAL

Solicitor, at the time the endorsement is disseminated, will not be an "ineligible person" who is subject either to a "disqualifying Commission action" or to any "disqualifying event." A "disqualifying Commission action" means an SEC opinion or order barring, suspending, or prohibiting the person from acting in any capacity under the Federal Securities laws. A "disqualifying event" is any of the following events that occurred within ten years before Solicitor disseminates an endorsement. I have not previously been nor am I currently subject to any of the below disqualifying events. **Select "True" if you have not been subject to the event listed below and "False" if you have been subject to the event.**

- | | |
|---|--|
| <input type="checkbox"/> True
<input type="checkbox"/> False | A. A conviction by a court of competent jurisdiction within the United States of any felony or misdemeanor involving conduct described in paragraph (2)(A) through (D) of Section 203(e) of the Act; |
| <input type="checkbox"/> True
<input type="checkbox"/> False | B. A conviction by a court of competent jurisdiction within the United States of engaging in any of the conduct specified in paragraphs (1), (5), or (6) of Section 203(e) of the Act; |
| <input type="checkbox"/> True
<input type="checkbox"/> False | C. The entry of any final order by any entity described in paragraph (9) of Section 203(e) of the Act, or by the U.S. Commodity Futures Trading Commission or a self-regulatory organization (as defined in the ADV Glossary of Terms), of the type described in paragraph 9 of Section 203(e) of the Act; |
| <input type="checkbox"/> True
<input type="checkbox"/> False | D. The entry of an order, judgment, or decree described in paragraph (4) of Section 203(e) of the Act, and still in effect, by any court of competent jurisdiction within the United States; and |
| <input type="checkbox"/> True
<input type="checkbox"/> False | E. An SEC order that a person cease and desist from committing a future violation of any scienter-based anti-fraud provision of the Federal securities laws, including without limitation section 17(a)(1) of the Securities Act of 1933 (15 U.S.C. 77q(a)(1)), section 10(b) of the Securities Exchange Act of 1934 (15 U.S.C. 78j(b)) and 17 CFR 240.10b-5, section 15(c)(1) of the Securities Exchange Act of 1934 (15 U.S.C. 78o(c)(1)), and section 206(1) of the Act (15 U.S.C. 80b-6(1)), or any other rule or regulation thereunder; or Section 5 of the Securities Act of 1933 (15 U.S.C. 77e). |

LICENSING

- F. I am currently a representative of the following SEC/State registered investment adviser.

Investment Adviser: _____



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G. I am currently a representative of the following SEC registered and FINRA member broker/ dealer.

Broker Dealer: _____

H. Please indicate below the industry examinations or designations that you currently possess and that are in good standing:

____ Series 2 ____ Series 6 ____ Series 7 ____ Series 24 ____ Series 26 ____ Series 63 ____ Series 65

____ Series 66 ____ CPA ____ CLU ____ CFA ____ CFP ____ ChFC ____ Other*

* please specify _____

I. **For execution by an individual who is an investment adviser representative of an SEC registered investment adviser and/or a registered representative of a SEC registered and FINRA member broker dealer (complete both if you serve in both capacities):**

INVESTMENT ADVISER REPRESENTATIVE NAME

INVESTMENT ADVISER REPRESENTATIVE SIGNATURE

REGISTERED REPRESENTATIVE NAME

REGISTERED REPRESENTATIVE SIGNATURE

CRD NUMBER

DATE

Please complete sections A thru K above and return to Atlas Capital. Upon review, Atlas Capital will then forward to the appropriate party within your investment advisory firm or broker/dealer for completion of Section L.

J. **For execution by SEC registered investment firm and/or SEC registered and FINRA member broker/dealer.**

I represent that the foregoing statements are true and complete. I agree to immediately notify Atlas Capital Management Corporation, in writing, in the event that any of the previous responses change throughout the year. Please forward completed form to Atlas Capital's Compliance department.

NAME OF RIA OR BROKER DEALER

AUTHORIZED PARTY SIGNATURE

CRD NUMBER

DATE

AUTHORIZED PARTY NAME