

### **Important Legal Information**

These documents should not be used without consultation and advice from your legal counsel and compliance areas. The provisions and acknowledgments in these documents have material legal consequences and should be carefully reviewed and approved to ensure that they meet your firm's requirements before being shown to or used with customers/investors.

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## **Sample Language for RIA Agreement**

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Limitations on Fiduciary Services. While the Adviser serves the Plan as an investment adviser fiduciary under ERISA section 3(21)(A)(ii), the Adviser does not provide other services to the Plan as an ERISA fiduciary, unless otherwise specifically provided in this Agreement. For example, the Adviser does not provide fiduciary advice or recommendations regarding plan distributions or withdrawals. (However, the Adviser may provide educational materials and information to participants about other services offered by the Adviser, including investment services for rollover IRAs.) The Responsible Plan Fiduciaries agree and acknowledge that the Adviser is not an ERISA fiduciary for any other purposes.

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