ORIENTATION VERIFICATION

As a new representative of KCD, it is important to understand our procedures and policies. This is accomplished through:

- ★ Complete the **Orientation via Zoom** with a KCD Principal.
- ★ Independent review of KCD **Written Supervisory Procedures Manual** – accessed through the secured rep pages of our website: www.kcdfinancial.com in the **Compliance Manual** tab.
- ★ Compliance updates and notices are emailed and posted on our website.

To verify your initial compliance review, complete this form and return to our home office within 10 days of your orientation.

1. Original KCD New Account Forms and Investment Disclosure Forms are kept where?
   ☐ KCD Home/OSJ Office ☐ Registered Representatives Office

2. If I have an office, I am required to display the SIPC sign at my office location.
   ☐ True ☐ False

3. The KCD Redemption of Securities to Non-Securities Form must be submitted to KCD if a customer liquidates a security product to invest in a non security product.
   ☐ True ☐ False

4. My copy of KCD's Written Supervisory Procedures Manual is located:
   ☐ On KCD's website ☐ In my hire package documents

5. Seminars and materials approved by my previous broker dealer do not have to be re-submitted to KCD for review/approval.
   ☐ True ☐ False

6. Checks for deposit into a Hilltop Securities account should be made payable to KCD.
   ☐ True ☐ False

7. If I write a large case, I can mail the paperwork to the vendor and get KCD approval later.
   ☐ True ☐ False

8. Rather than hold a customer's check and application overnight, I can mail it to the vendor even if I have not received KCD's approval.
   ☐ True ☐ False

Acknowledgement: I have read my appropriate KCD's Written Supervisory Procedures through KCD's website, www.kcdfinancial.com, and am familiar with the contents. I will check for periodic updates of compliance issues and regulations. I accept the information and agree to operate in accordance with all the federal and state laws, rules, and regulations, contained therein.

_____ _____

Representative Signature **Rep No.** **Date**

_____ _____

Printed Name **Principal Review**

Please sign and return to KCD Financial via mail or fax to 920-347-3402.