



Compliance Update

October 27, 2022

Kingswood Team,

First I'd like to convey that we currently have suspended the purchase of structured products on the Advisory side of our business. This was done for a variety of reasons but may be revisited sometime in the future if we can overcome some of the issues. Structured products may be offered on the BD side if it adheres to our policies and proper disclosures are provided(see attachments). In addition to the attached, the below requirements will apply:

- a. Offered only, where legally required, to Accredited Investors, and
- b. Which is accompanied by a properly executed Disclosure Form; and
- c. Which, at any time, comprise no more than 10% of the client's Liquid Net Worth in a single product and no more than 20% of the client's Liquid Net Worth in all of these products in the aggregate.

Attachments (*these and all other forms are available in the [Kingswood Forms Library](#)*)

- [Structured Products Policy](#)
- [Structured Products General Risks Disclosure Signature Form](#)
- [Principal-at-Risk Client Acknowledgement Form](#)

Anything outside the scope of these requirements in conjunction with existing requirements, will not be approved.

Additionally, please find our [updated ADV firm brochure](#) attached. Please use this going forward and discard any previous versions. Another update may be made in March 2023 as well.

As always, we appreciate and value all of our Kingswood Team member and we thank you for your continued compliance.

Best Regards,

Mike Alsoraimi

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