

CAPTRUST Financial Advisors Client Referral Program

Please contact the Advisor Group (Mike Strother) to begin the process.

Eligibility—A qualifying employee who refers a client to CAPTRUST will be eligible for a bonus award, if client referral is not subject to other referral fees such as telemarketing fees or solicitor fees. FAs, FARMS and Executive Committee Members are not qualifying employees. Note: Small accounts which do not qualify for payout are not eligible.

Referral—For the purposes of this program, a referral exists when an employee can exert enough control or influence over the client to ask the FA if they would accept the client under this referral program, followed by “delivering” the client relationship. Common examples may include a relative, or a close friend who can make the hiring decision. The need for the client to meet with the FA to see if compatible before making the hiring decision does not disqualify the employee from receiving a referral. However, creating the opportunity to participate in an RFP process or other contested opportunity is not deemed a referral under this program. Similarly, a prospect name or money in motion information is not a referral under this program. These “assists” are appreciated, and we expect all employees to help with these, but this referral program requires a relationship and the ability to profoundly impact the outcome.

Bonus Award—Based upon 15% of estimated recurring revenue in first year.

Payment—Once the determination of the bonus award is made, the bonus will be included in the next succeeding payroll (must be employed by CAPTRUST at time of payment to receive award).

Cost Sharing—The bonus cost will be shared by the FA receiving the client and CAPTRUST by charging the FA for the bonus award at the payout rate appropriate for the client and the FA at the time of the bonus award.

Logistics—Finance will develop a form to be used to document the bonus award. The form will be signed by the qualifying employee and the FA receiving the referral. Once received and approved by the Finance team, the bonus award will be put into the payroll system and the cost sharing will be reflected in the payout system. The Operating Committee will retain final decision-making authority if there is a disagreement about a qualifying referral. Employee must notify Finance or HR within 6 months of the signed contract to be compensated for the referral.

Subject to Change—CAPTRUST reserves the right to modify, terminate or alter this program at its complete discretion.