Nationwide
10350 Ormsby Park Place
Louisville, Kentucky 40223

1-866-667-0564
nationwideadvisory.com

Nationwide RIA Referral Process

Nationwide provides an outsourced insurance desk with a licensed agent/registered representative* for fee-based investment advisors who are not insurance licensed** but have identified a need of insurance products to protect their client's assets or compliment their client's existing investment strategy. This process is known as the Nationwide RIA Referral Process wherein the RIA refers their clients to Nationwide to learn about our products for your client's financial portfolio. The Nationwide referral service is designed to complement the Investment Advisor and client relationship, not replace it. Nationwide does not accept or exercise discretionary authority of your client's advisory accounts. The referral process includes:

Step 1: **Identify an insurance need:** Consult with your Territory Manager. Chris Porod at porodc1@nationwide.com or (502) 587-3861.

Step 2: **Refer your client to Nationwide:** Our referral process starts with a consent form that is signed by both the Investment Advisor and their client(s). This form allows the Investment Advisor to refer and to share required financial information with a licensed agent/registered representative at Nationwide. Additionally, we will deliver Regulation Best Interest Disclosures and Form CRS to prospective client(s).

Step 3: **Client Call:** A licensed Nationwide agent/registered representative conducts a call with the referred client(s) to review suitability and to make a formal insurance recommendation. The Investment Advisor can attend but is not required.

Step 4: **Application:** If appropriate, a licensed agent/registered representative will make a recommendation and assist the client with application paperwork for signatures and processing.

If you have any questions, please contact your Territory Manager.

**These individuals are registered with our retail broker/dealer, Nationwide Securities, LLC and also licensed with our affiliated insurance agency, Nationwide Financial General Agency (NFGA).*

***To learn more about Nationwide's Outsourced Insurance Desk and guidance on activities by a non-insurance licensed Investment Advisor, please reach out to your Territory Manager to discuss and request a copy of our guidance on Activities by a Non-Insurance licensed Investment Advisor*

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