



100 Garden City Plaza, Ste 518
Garden City, NY 11530

www.conciergefunding.com
info@conciergefunding.com
main: 844-360-1818

FUNDER COMPLIANCE CERTIFICATION

New York Consumer Litigation Funding Act (A804-C/S1104-A)

Date of Funding: _____
Client/Plaintiff Name: _____
Law Firm: _____
Funding Amount: \$ _____
Concierge Funding File No.: _____

Concierge Funding, LLC (“Funder”), in connection with the above-referenced consumer litigation funding transaction, hereby certifies to the above-named law firm and its attorneys as follows:

1. DFS Registration.

Funder will be registered with the New York State Department of Financial Services (“DFS”) as required by New York General Business Law Article 39-H (the “Consumer Litigation Funding Act” or “CLFA”) prior to June 17, 2026, the effective date of the CLFA. Funder shall maintain such registration in good standing throughout the term of any funding agreement subject to the CLFA. Upon request, Funder will provide the law firm with written confirmation of its registration status.

2. Contract Compliance.

The funding agreement executed in connection with this transaction, to the extent it is subject to the CLFA, contains all disclosures required by New York General Business Law § 1104, including the funded amount, applicable fees, repayment terms, and the client’s five (5) day right of rescission, all presented in bold, 14-point font as required by law.

3. Fee Cap Compliance.

Funder certifies that all charges associated with this funding — including interest, fees, and any other amounts owed to Funder — will not exceed twenty-five percent (25%) of the client’s gross recovery from the underlying claim, calculated on the gross settlement or judgment before



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any deduction for legal fees or litigation expenses, as required by New York General Business Law § 1105. Funder acknowledges that this 25% cap applies to all contracts signed on or after June 17, 2026.

4. Non-Interference.

Funder certifies that it has not and will not attempt to influence litigation strategy, settlement decisions, or the attorney-client relationship in any matter, in accordance with New York General Business Law § 1107.

5. Non-Recourse Nature.

Funder acknowledges that this transaction is non-recourse. Repayment is contingent solely upon the client's recovery in the underlying claim. No repayment obligation exists if the client does not obtain a recovery.

6. Payoff Certification.

At the time of settlement or other resolution of the underlying claim, Funder will provide the law firm with a written Payoff Compliance Certificate (Form 4) confirming the final payoff amount, the gross recovery figure used to calculate compliance with the 25% cap, and Funder's certification that the payoff amount complies in all respects with the CLFA.



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7. Reliance.

Funder understands and acknowledges that the above-named law firm and its attorneys will rely upon this Certification in referring clients to Funder and in distributing settlement proceeds, and that such reliance is reasonable and intended.

CONCIERGE FUNDING, LLC

By: _____

Name: _____

Title: Compliance Officer

Date: _____

Concierge Funding, LLC is built for the post-CLFA world — fully compliant, fully transparent, and fully accessible. Our client portal gives your firm 24/7 visibility into every case, current payoff information, and all documents available for immediate download. Not yet a client? We welcome the opportunity to meet in person or schedule a call for a personal introduction and live demonstration of our client portal. Email us at info@conciergefunding.com or visit conciergefunding.com to get started.

This document is provided pursuant to the New York Consumer Litigation Funding Act (A804-C/S1104-A), effective June 17, 2026. This document does not constitute legal advice. Law firms are encouraged to consult with their own counsel regarding their obligations under the CLFA.