



**Date of Recommendation:**

**Client & Account Information**

Client Name(s)	Account(s)
Account Type: NON-QUALIFIED	QUALIFIED
Purpose of Account:	
Relationship Structure of Account:	ADVISORY      BROKERAGE

**1. What are the benefits of the selected relationship structure to the client? (Be Specific)**

**2. What are the advantages and potential limitations of the investments, account type & custodian selected?**

Describe services and products provided within the account type and custodian.

**3. What types of investments did you discuss?**

Describe all reasonably available alternatives and overall investment approach, strategy, and risks of the selected investments.

**4. What made you decide on the selected investments?**

Include all buy, sell, and hold recommendations, and details or copies of any planning software used to evaluate current or proposed portfolio, or any questionnaire used to assess objectives & risk.

**5. List all commissions, fees and any other costs associated with the selected account type & investments.**

Include all fees to open & maintain the account, and if any waivers apply. May attach copies or a list of documents provided to client.

**Refer to the Reg BI Delivery of Disclosures checklist to know when this form is required. A recommendation includes, but is not limited to, account types, securities transactions, rollovers, and transfer of assets.**