



Date of Recommendation:

*****REMINDER: Enter Tracker BI Delivery*****

Client & Account Information

Client Name(s)	Account(s)
Account Type: NON-QUALIFIED	QUALIFIED
Purpose of Account:	
Relationship of Account:	ADVISORY BROKERAGE
Did you discuss the capacity in which you are working? (i.e. Fiduciary vs. Brokerage)	YES NO
Did you discuss potential limitations in terms of capacity or licenses held?	YES NO
Were any oral disclosures or conflicts of interest discussed with the client?	YES NO

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. Reasonably available alternatives are products similar in structure that meet the stated objectives within the stated risk tolerance.

4. Describe all buy, sell, and hold recommendations.

Provide 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.