



## MEETING NOTES

Meeting Date: \_\_\_\_\_ Meeting Start Time: \_\_\_\_\_

Client ID: \_\_\_\_\_ Client Name: \_\_\_\_\_ Client Name (Joint): \_\_\_\_\_

Advisor Code: \_\_\_\_\_ Advisor Name: \_\_\_\_\_

Meeting Type: Phone In Person Other: \_\_\_\_\_  
 Meeting Subject: Review Portfolio Investing Redemption  
 Who: Client Initiated Advisor-Initiated

### Trade Instructions Received by:

In Person By Phone By Email - Verified email Address

### Investing:

Plan Type(S) and Plan ID(S): \_\_\_\_\_

Source of Funds: \_\_\_\_\_

**FEES:** Front End-LL or Other % / \$ amount \_\_\_\_\_

Discussed Trailing Commission of _____% to be received?	Yes	No	N/A
Reviewed Fund Facts and give client a copy of new fund purchase?	Yes	No	N/A
Did the client buy funds with borrowed funds (Leveraged)?	Yes	No	N/A
If Yes, did you complete leverage disclosure and leverage details?	Yes	No	N/A
Perferred pricing options discussed with client?	Yes	No	N/A

### Redemption:

Why: \_\_\_\_\_

DSC Fees Incurred:	Yes	No	Approx. %/amount _____
DSC Rebate Disclosure form completed:		Yes	No
Was this a 10% Free/Mature units switch - from DSC to FE of same fund?*		Yes	No
*Reviewed conversions disclosure?		Yes	No
Income Tax implications?	Yes	No	Approx. %/amount _____
Short-Term Fees?	Yes	No	Approx. %/amount _____
Any other transaction or other fees?	Yes	No	Approx. %/amount _____

### KYC Discussions:

Reviewed and discussed complete financial circumstance with client	Yes	No
Rebalancing of client's plans to meet stated risk tolerance and financial objectives?	Yes	No

If YES to either of the above, please provide a detailed explanation for these changes.

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

### Additional Meeting notes:

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

(ADD EXTRA PAGE IF NEEDED FOR NOTES)

Meeting End Time: \_\_\_\_\_

Advisor Initials: \_\_\_\_\_