CANDOR FINANCIAL GROUP INC
PROFESSIONAL WEALTH MANAGEMENT

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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.

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Additional Meeting notes:

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(ADD EXTRA PAGE IF NEEDED FOR NOTES)

Meeting End Time: __________________________

Advisor Initials: _____________________________