



Date: _____

Complete this form for any direct business you process, either by sending initial application(s) or subscription agreement(s) or making a transaction (buy, sell, or exchange) within a directly held account. Please note that this form must be reviewed by your OSJ Supervisor who will then maintain it as the firm’s books and records as required. (For initial application, you do not need to specify each transaction in this log, if the sponsor’s initial application requires same information.)

Product Type (VA, MF, IA, DPP, etc)	Product Company Name	Product Name	Customer Name	Account # or Application Status	Investment Amounts	Activities (Buy/Sell/ Exchange)	Transaction Amounts (\$)	Capacity (Sol/Unsol)	Discretion (Yes/No)	Other

For initial applications, please attach all documents required by both the product sponsor(s) and Colorado Financial Service Corporation.

RR’ Name

Rep Code

RR’s Signature

OSJ Supervisor’s Name

OSJ Supervisor’s Signature and Date

Home Office Use Only

This document is a required books and records item.