

RECOMMENDATION TICKET WITHOUT SECURITIES TRANSACTION

This Document is a Required Books and Records.

Date Recommended	Customer's Name	Recommendation(s) for the Customer's CFSC Account Held at or with: <input type="checkbox"/> FIRST SOUTHWEST (CLEARING ARRANGEMENT) <input type="checkbox"/> VARIABLE ANNUITIES <input type="checkbox"/> DIRECTLY HELD MUTUAL FUND ACCOUNTS <input type="checkbox"/> DPPs <input type="checkbox"/> OTHERS: _____	Account Number
<input type="checkbox"/> HOLD Recommendation in the sense of a suggestion that the customer stay the course with the current investment or investment strategies <input type="checkbox"/> Met with the customer for a routine review (monthly, quarterly, or annually), and during the review explicitly recommended the customer not to sell any securities or make any changes to the account <input type="checkbox"/> The customer transferred securities into the account from another firm and recommended to HOLD the position(s) in the account <input type="checkbox"/> Have not discussed any specific investments or securities, however, recommended to use of the following Investment Strategies (check all that apply): <input type="checkbox"/> Use of Bond Ladder <input type="checkbox"/> Use of Margin Account <input type="checkbox"/> Use of Liquefied Home Equity-(not allowed) <input type="checkbox"/> Use of Day Trading Strategy-(not allowed) <input type="checkbox"/> Use of Asset Allocation Models CUSTOMIZED for the Customer <input type="checkbox"/> Other: _____ <input type="checkbox"/> Other: _____		<input type="checkbox"/> Attach account statement(s): OR <input type="checkbox"/> List securities position(s): _____ THE SECURITIES INVOLVED: (CHECK ALL THAT APPLY) <input type="checkbox"/> Have a short-term investment component OR periodic reset OR have some similar mechanism that alters the securities' character over time <input type="checkbox"/> Are vulnerable to changes to market conditions or are risky <input type="checkbox"/> The customer is heavily concentrated in the security OR industry Detailed Description: _____ 	
RR's Name		OSJ Supervisor's Name	OSJ Supervisor's Review Comment
RR #	RR's Signature	OSJ Supervisor's Signature	
Home Office Use Only			

Dashboard Image Code (Type > Description): Customer Documents > IS-Recommendation D010

CFSC D010-A021113

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