



Cash and Non-Cash Compensation Log

Report Period: _____

RRs are required to maintain a log of all cash and non-cash compensation (including travel expenses, meals, lodging, prizes, and awards) received including those offered from third party product sponsors or providers.

Third party product sponsors or providers host training and educational meetings and may offer to pay, in whole or in part, expense incurred with attendance at the meetings. When an RR wishes to attend such a meeting or seminar, the RR must receive an approval from the firm's Compliance Department prior to attending the seminar or meeting. In addition when/if a third party pays, in whole or in part, for an educational meeting or seminar hosted by RR, such payment must be pre-approved by the firm's Compliance Department and such payment must be also recorded in this log.

Please note that RRs may not receive any cash compensation directly from outside firms or persons. All checks must be made payable to Colorado Financial.

Compensation Provided By (Person or Entity)	Recipient or Provided to	Description or Nature	Date Compensation Received	Amount	Date Approved by Compliance	OSJ Supervisor's Approval (initial and date)

Name of Representative

Signature

Date

OSJ Supervisor's Name

Signature

Date