



Business Engagement Log
(Investment Banking)

Reporting Period: _____

Complete this form for any investment banking business or deal you have engaged during the reporting period. 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.

Date of Engagement	Client (Company Name)	Description of Engagement and Engagement Type	Estimated Value of Engagement	Names (List all individuals who received or will receive compensations for the engagement)

 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.