



NON-BROKERAGE TRADE TICKET

DATE: _____

WINOPS ORDER NO.: _____

INVESTMENT/PRODUCT NAME: _____

QUANTITY: _____ @ \$ _____ FOR TOTAL \$ _____
Shares/Units per share/unit

COMMISSION RATE: _____ COMMISSION AMOUNT \$ _____

PAPERWORK SENT TO SPONSOR BY: _____ RR _____ HOME OFFICE _____ CLIENT

FUNDS SENT TO SPONSOR: _____ **CHECK W/APP** _____ WIRE _____ 1031 QI

CLIENT ACCOUNT NAME: _____

REGISTERED REP NAME: _____

FOR HOME OFFICE USE ONLY

REQUIRED SUPPORTING DOCUMENTS:

- _____ SUBSCRIPTION DOCUMENTS
- _____ SHAREHOLDER AGREEMENT
- _____ PURCHASE AGREEMENT & ESCROW INSTRUCTIONS
- _____ PURCHASER QUESTIONNAIRE (DST/TIC)
- _____ BD/RR REPRESENTATIONS AND WARRANTIES (DST/TIC)
- _____ W-9 / W-8
- _____ **506(c)** ACCREDITED INVESTOR LETTER/BACKUP
- _____ CLIENT FINANCIAL NET WORTH STATEMENT
- _____ CFSC NEW ACCOUNT FORM
- _____ **D022 DIRECT PLACEMENT**
- _____ **D022 PIPE**
- _____ TRUST DOCUMENTS AND TRUSTEE/TRUSTOR INFO
- _____ CORPORATE RESOLUTION/LLC OPERATING AGREEMENT
- _____ CERTIFICATE OF GOOD STANDING
- _____ ARTICLES OF ORGANIZATION/INCORPORATION
- _____ DRIVERS LICENSE/GOVERNMENT ID COPY
- _____ OFAC
- _____ AI INSIGHT DD MODULE COMPLETED BY RR

APPROVED BY _____

DISAPPROVED BY _____

COMMENTS

INVOICE DATE: _____ **DD FEE** _____ **TICKET CHARGE** _____ **FEDEX** _____