



**PRIVATE  
CLIENT  
SERVICES™**  
MEMBER FINRA, SIPC  
A Registered Investment Advisor

# PRODUCT PROVIDER TRAINING MEETING APPROVAL REQUEST

<b>Request Date:</b>	<b>Representative Name:</b>	<b>Sponsor Name:</b>
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This form is to obtain approval for Representatives to attend meetings, seminars, due diligence trips, or other sponsor hosted conferences. FINRA rules require prior approval from the home office for any meetings that an associated registered person may be invited to. Please provide the following information about your meeting on this form. This form must be complete before submitting for approval. (Attachments providing event details may be included with this request)

1. <b>Please provide the product type</b> (e.g. mutual fund, variable annuity, 529 Plan, third party manager, alternative investment):	
2. <b>What is the location, date, and time of the proposed event?</b>	
3. <b>Please list all items on the meeting's agenda or attach a copy of the full agenda / itinerary:</b>	
<ul style="list-style-type: none"> <li>• Speaker's names &amp; affiliations: _____</li> <li>• Topics to be presented: _____</li> <li>• Detail any non-educational activities and who is responsible for the cost of the activity: _____</li> </ul>	
4. <b>What is the estimated cost per Representative and what does this include:</b>	
<ul style="list-style-type: none"> <li>▪ Hotel: \$ _____</li> <li>▪ Airfare: \$ _____</li> <li>▪ Meals: \$ _____</li> <li>▪ Gifts: \$ _____</li> <li>▪ Other: \$ _____</li> </ul>	Details:
5. Are guests/spouses of the financial advisors invited? <input type="checkbox"/> Yes <input type="checkbox"/> No If so, sponsor cannot pay for their associated costs	
6. Please include a letter/statement from the sponsor indicating that this event meets the requirements all FINRA Conduct Rules. This letter should also state that the sponsor will not pay for extracurricular activities or spouse and guest expenses. Be sure to indicate sponsor name, meeting dates, title of event/meeting, and the location of this meeting in this letter. Please note that a letter is not required if the sponsor is not spending over \$100 per Representative.	

**Broker/Dealer Use Only:**

<b>Managing Principal Name:</b>	<b>Managing Principal Signature:</b>	<b>Date:</b>
<i>Senior Management:</i> <input type="checkbox"/> Approved <input type="checkbox"/> Denied		
<b>Sr. Management Name:</b>	<b>Sr. Management Signature:</b>	<b>Date:</b>