



MEMORANDUM

CONFIRMATION OF BUSINESS REVIEW FOR ALTERNATIVE PRODUCTS

TO: _____ Fax _____ E-Mail _____ Original _____
Representative Name Rep. No.
Fax Number / Email address NAF Att'd: Yes: _____ No: _____ On File: _____
AML Checked: Yes: _____ Att'd: _____

Date of Transaction: _____ Date Rec'd by KCD: _____
Account Registration: _____ Age: _____
Investment Company: _____ AI tested _____
Product Name: _____ Qualified: _____ R/O: ☐ Y ☐ N NQ: _____
Amount of Investment: \$ _____ Est Concessions Rec: \$ _____ RIA: ☐ Y ☐ N

INVESTOR INFORMATION:

Net Worth: _____ Liquid Assets: _____ % of Illiquid Investments to Net Worth: _____
Total Illiquid Investments W/ KCD _____

REVIEW NOTES: (Suitability issues, special considerations, additional information.)

Source of Funds: _____

DEFICIENT _____ **BEFORE THIS TRANSACTION IS MAILED YOU MUST SUBMIT THE FOLLOWING ITEMS IN ORDER FOR US TO COMPLETE OUR REVIEW.** After submitting, wait for final approval before mailing the original paperwork to the company.

APPROVED _____ Items submitted appear in order; you may mail your business to the company.

Notes: _____

Retain this final approval in your files with your copy of the business paperwork.