



# MEMORANDUM

## CONFIRMATION OF BUSINESS REVIEW FOR ALTERNATIVE PRODUCTS

TO: \_\_\_\_\_ Fax \_\_\_\_\_ E-Mail \_\_\_\_\_ Original \_\_\_\_\_  
 Representative Name Rep. No.  
 \_\_\_\_\_ NAF Att'd: Yes: \_\_\_\_\_ No: \_\_\_\_\_ On File: \_\_\_\_\_  
 Fax Number / Email address 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.)

**THIS IS YOUR  
 BUSINESS APPROVAL  
 FORM**

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.**