

General Compliance Record

Date: _____

Discussion:

Related to:

- Rule 3012 _____
- Rule 3010 _____
- Financial Reporting _____
- Continuing Education _____
- Policies and Procedures _____
- Examinations _____
- Books and Records _____
- Branch Offices _____
- Affiliates _____
- Registered Representatives _____
- Code of Ethics _____
- Employee Trading _____
- Form ADV _____
- Form BD _____
- Privacy _____
- Technology _____
- Internal Controls _____
- Security _____
- Annual Review _____
- Compliance Meeting _____
- Financial Arrangements _____
- CRD/IARD _____
- Trading Practices _____
- Suitability _____
- AML _____
- Underwriting _____
- Private Placements _____
- States (Blue Sky) _____
- Individual Registrations _____
- Documentation of Event _____
- Customer Complaints _____
- Transaction Reporting _____
- OATS _____
- New Accounts _____
- Disclosures _____
- Agency Cross Trades _____
- Proxy Voting _____
- Principal Trades _____
- Portfolio Reviews _____
- Ethics _____
- FINRA _____
- SEC _____
- OBA _____
- Termination _____
- Sales Materials _____
- Other Matters _____

Signature: _____ Name: _____

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Discussion:

Signature: _____ Name: _____