

## DOCUMENTATION OF BEST INTEREST ADVICE FOR PURCHASE OF SECURITY

TRADE DATE\_\_\_\_\_ NAME OF SECURITY PURCHASED\_\_\_\_\_  
CLIENT NAME\_\_\_\_\_ ACCOUNT NUMBER\_\_\_\_\_

I ATTEST TO THE FOLLOWING REASON(S) FOR THIS PURCHASE RECOMMENDATION:  
(PLEASE CHECK ALL APPLICABLE BOXES BELOW)

- RECOMMENDED FOR GROWTH POTENTIAL
- RECOMMENDED FOR DIVIDEND/INTEREST INCOME
- OPPENHEIMER RECOMMENDATION
- PROVIDES DIVERSIFICATION BY: ASSET CLASS / INDUSTRY SECTOR / MARKET CAP  
(check all that apply)
- PRINCIPAL PRESERVATION
- LADDERING PORTFOLIO MATURITIES
- INFLATION PROTECTION
- FOR MUTUAL FUND, ETF OR UIT PURCHASES: PROVIDES A DIVERSIFIED, UNMANAGED /  
MANAGED PORTFOLIO (check one)
- FOR PRIVATE PLACEMENTS/ALTERNATIVES: INVESTOR IS A SOPHISTICATED INVESTOR WHO  
UNDERSTANDS THE RISKS AND LIQUIDITY OF THE INVESTMENT

THIS PURCHASE IS CONSISTENT WITH THE CLIENT'S INVESTMENT OBJECTIVES, TIME HORIZON, RISK TOLERANCE AND INCOME NEEDS. THE COSTS AND EXPENSES PAID BY THE CLIENT ARE APPROPRIATE RELATIVE TO COMPARABLE INVESTMENT ALTERNATIVES.

THIS INFORMATION IS ACCURATE, AND THE RECOMMENDATION TO PURCHASE WAS MADE IN THE BEST INTEREST OF MY CLIENT WITHOUT REGARD TO MY PERSONAL INTEREST OR THAT OF OPPENHEIMER & CO. INC.

PRINT NAME\_\_\_\_\_SIGNATURE\_\_\_\_\_