

DOCUMENTATION OF BEST INTEREST ADVICE FOR SALE OF SECURITY

TRADE DATE _____ NAME OF SECURITY SOLD _____
CLIENT NAME _____ ACCOUNT NUMBER _____

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

- FUNDAMENTALS OF COMPANY HAVE CHANGED
- NO LONGER RECOMMENDED / FOLLOWED BY OPPENHEIMER
- NO LONGER CONSISTENT WITH CLIENT INVESTMENT STRATEGY
- CREDIT DOWNGRADE BY RATING AGENCY
- REDUCTION / ELIMINATION OF DIVIDEND
- REDUCE CONCENTRATION IN: ASSET CLASS / INDUSTRY SECTOR / MARKET CAP
(check all that apply)
- RAISING CAPITAL FOR CLIENT NEED FOR CASH
- FOR MUTUAL FUND, ETF OR UIT SALES: POOR RELATIVE FUND PERFORMANCE / PORTFOLIO
MANAGER CHANGE (check all that apply)
- CAPITAL PRESERVATION / REDUCE MARKET EXPOSURE

THIS SALE 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 SELL WAS MADE IN THE BEST INTEREST OF MY CLIENT WITHOUT REGARD TO MY PERSONAL INTEREST OR THAT OF OPPENHEIMER & CO. INC.

PRINT NAME _____ SIGNATURE _____