



Hold Recommendation Form Rep# _____ Account# _____

Account Registration

(Name of Primary Owner, Minor, Trust, Corporation, Qualified Retirement Plan, etc.)

(Name of Additional Owner, Custodian, Trustee, Authorized Officer, etc.)

Hold Recommendation made by the advisor:

- (1) *That may not be within the investment objective / risk profile listed for this specific account, or*
- (2) *That may represent a concentrated position – more than 25% of the value of the account.*

Recommendation Date _____

Recommendation Type

- Hold
- Hold All
- Hold All Except

Primary Reason for Recommendation

- Reasons for Original Purchase Remain Intact
- Research
- Portfolio Diversification / Asset Allocation
- Yield Considerations
- Tax Implications
- Core Holding(s)
- Valuation
- Company News
- Client Choice to Hold

Security (or Securities) Recommended: *Please provide Symbol, Cusip and/or Description of each Security*

Comments and Additional Information (if applicable)

Signatures

Registered Representative Signature

Date _____

Accepted By:

Branch Manager / Authorized Signature

Date _____