

SECURITIES RECEIVED AND DELIVERY BLOTTER

Both OSJ and Non-OSJ branch locations must maintain this file. The file should include, but not be limited to:

- Securities received log;
- A copy of the stock certificate letter;
- A copy of the Stock Certificate;
- Evidence of being returned to the sender (via overnight or registered mail);
- Maintain this file in chronological order.

Receiving securities is primarily the responsibility of the firm. Nevertheless, the branch must maintain the file. Should the branch erroneously send or submit securities to the wrong location, the securities must be returned to the client with the stock certificate and return letter. The branch must be reviewed periodically to ensure that all securities received are properly sent in a timely manner.

ADVERTISING FILE

OSJ and Non-OSJ branches must maintain this file. The file should include, but not be limited to:

- Copies of all related materials including the evidence of compliance approval;
- Copies of FINRA approvals where applicable;
- All advertising material must be maintained in this file;
- All advertising material must be maintained in a separate file.

Advertising communications in the public media, such as newspaper or television advertisements as well as unrestricted web material like a public web site or banner advertisement. Please note that advertisements on the products of services mentioned above need to be filed with FINRA.

ADDRESS CHANGE FILE

Both OSJ and Non-OSJ branch locations must maintain this file. The file should include, but not be limited to:

- Address change form signed by the client;
- Evidence of being reviewed and approved by a principal prior to being processed;
- Evidence of such request being processed or access to such evidence;
- Maintain this file in chronological order;
- Additional copy should also be maintained in the client's file.

Address change requests must be received in writing from the client. Address changes for multi-party accounts must have a written request from each party. In addition, requests to change an address to a post office box will only be accepted if the client's permanent street address is maintained in the client file, both at the home office and the branch. **Please note that address change requests for directly held accounts must be forwarded to the sponsoring firm with a copy to the home office at newaccounts@coastal-one.com.**

INVESTMENT OBJECTIVE CHANGE FILE

Both OSJ and Non-OSJ branch locations must maintain this file. The file should include, but not be limited to:

- A copy of Investment Objective change request form;
- Evidence of being reviewed by a principal;
- Maintain this file in chronological order;
- Additional copy should also be maintained in the client's file.

All investment objective changes must be received in writing from the client and approved by a principal.

LOA FILE

Both OSJ and Non-OSJ branch locations must maintain this file. The file should include, but not be limited to:

- Letter of authorization, such as, wire request, fund transfer request, and etc., signed by the client;
- All LOAs other than those required to be maintained in the addressee change request file should be in this file;
- Evidence of LOAs being reviewed and approved by a principal prior to being processed;
- Additional copies should be maintained in the client's file;
- Evidence of being processed or access to the evidence;
- Maintain this file in chronological order.

The RR is responsible for making certain that the customer's instruction has been processed in a timely manner. Please note that RRs are prohibited from sending an request directly to the sponsoring firm.

PERSONAL SECURITIES FILE

Both OSJ and Non-OSJ branch locations must maintain this file. The file should include, but not be limited to:

- A copy of annual Outside Accounts attestation and request forms;
- Copies of account statements and transaction confirmations or electronic access to such information;
- Maintain this file in chronological order.

Personal securities accounts include any accounts where an Associated Person has a personal financial interest; the Associated Person is the named trustee or custodian; or the Associated Person otherwise has control over the account. Related accounts include accounts for relatives residing with the Associated Person and accounts for any person who is supported, directly or indirectly, to a material extent by the Associated Person. These requirements do not apply to accounts limited exclusively to transactions in unit investment trusts and variable contracts or redeemable securities in mutual funds.

ORDER TICKETS AND CANCEL/REBILL REQUESTS

Both OSJ and Non-OSJ branch locations must maintain this file. The file should include, but not be limited to:

- Order tickets;
- Cancel/rebill request forms;
- Evidence of being reviewed and approved (if required;)
- Maintain in chronological order.

RRs must keep copies of all order tickets and cancel/rebill requests. Cancel/Rebills requiring an account or account name change (including errors) must be approved by a principal.

GIFTS, GRATUITIES, AND ENTERTAINMENT

Both OSJ and Non-OSJ branch locations must maintain this file. The file should include, but not be limited to:

- Gift Approval forms;
- Gift, Gratuities, and Non-Monetary Compensation log;
- Evidence of being reviewed and approved.

When an Associated Person receives or offers a gift that exceeds the \$100 limitation, either alone or when aggregated with other gifts from the same product sponsor within the calendar year, the person must immediately report the gift to his or her OSJ Supervisor and return the gift. Evidence of the gift's returned should be maintained. Entertainment includes a broad range of activities such as trips, parties, and other activities. RRs must accompany entertainment to avoid entertainment being considered a gift which is subject to \$100 limitation. Records of entertainment must include details of who was entertained and nature of entertainment.

BRANCH FILE

Both OSJ and Non-OSJ branch locations must maintain this file. The file should include but not be limited to:

- Business continuity plan and calling tree;
 - Office lease agreement(s);
 - Equipment/furniture lease agreement(s);
 - Manuals:
 - CEI WSP Manual;*
 - CIA P&P Manual;*
 - Registered Representative Contract(s);
 - MSRB Manual;*
 - FINRA Manual;*
 - Business Continuity Plan;*
 - Anti-Money Laundering Program.*
- *web-link to the manual is acceptable.

PUBLIC APPEARANCES FILE

Both OSJ and Non-OSJ branches must maintain this file. The file should include, but not be limited to:

- Public Appearance/Seminar Request form, copies of all related materials, including invitation, agenda, handouts, with evidence of compliance approval;
- A list of individuals who attended the seminar (if applicable);
- Maintain this file in chronological order.

All training and education programs provided to the general public as a seminar format must be pre-approved by your principal and the Compliance Department. All related materials such as, invitation, seminar agenda and handouts must be also pre-approved.