



Trade Approval Request

PO Box 2049, Simi Valley, CA 93062 | Tel (800) 473-3856 | Fax (800) 636-1302

Complete & submit this form to request trade approval for advisor managed accounts

Client/Model Name _____ IAR Name _____

Account number _____ Type of Account _____ Risk Tolerance Score _____

Approx. Acct Value _____ Custody: TradePMR Foliofn Aspire VA TD Ameritrade

Current Position	Buy	Sell	Solicited	UnSolicited	Ticker Symbol	Name of Mutual Fund, ETF, Stock, Bond, Note or Other	Approx Price/Share	Approx Dollar Value of Trade	% of Acct Value

All fields are required per line except Current Position. Select Buy or Sell and Solicited or Unsolicited. Trade is considered Solicited if IAR advised trade and Unsolicited if client requested trade.

Is this Allocation, Model or Position consistent with the Client/Model Risk Tolerance & Investment Objective according to the Suitability form on file Yes No

If 'No' updated suitability form is required.

Advisor Signature _____ Date: _____

Principle Signature _____ Date: _____