



Acct#/AIP Name: _____ Office: _____ Rep ID: _____

Client Name: _____

Alternative Financial Transaction Approval

PICI requires the monitoring of all limited partnership investments whether they are held inside or outside of HTS. This is to include any alternative financial transaction which may be in a form other than a partnership i.e. rare coins, term life insurance, fixed annuities, gas & oil programs, REITs etc.

All such financial transactions or investments must be reviewed by PICI Home Office prior to the firm's representative tendering the client's funds to the applicable general partner or other outside entity.

The following information is to be completed and emailed to the Home Office with the applicable documents. Review and approval will be sent via email and once received you can proceed with funding. A copy of this document, with the Home Office approval must be retained in the client's file.

| | | | |
|---|---|------------------------------------|----|
| Client Name | | Date of Application/Subscription | |
| Type of Transaction | <input type="checkbox"/> New application/subscription <input type="checkbox"/> Addition to existing application/subscription | Amount of Application/Subscription | \$ |
| Name of Investment | | | |
| Occupation of Client | | Net Worth of Client | \$ |
| Other Similar Investments Held by Client | | | |
| Other Accounts Held at HTS (see note below) | | | |
| Note: | If no other accounts held at HTS, a set of PICI new account documents must accompany this request. | | |
| Applicable Documents to this Request | <input type="checkbox"/> Application/Subscription <input type="checkbox"/> NCF Acct – PICI New Account document | | |

 Representative Signature

 Date

Home Office Approval Only:

Approved Rejected

 PICI Principal Printed Name

Reason for Rejection:

 PICI Principal Signature

 Date