

Merrill Lynch 3rd Party Sponsored National Due Diligence Training Form

(3rd party regional due diligence meetings are not permitted.)

Merrill Lynch (ML) Wealth Management associates, managers and branch offices may not receive cash or non-cash compensation in whole or in part from third party product providers or distributors of investment products or services sold through ML other than in accordance with ML firm policies. Payment from third-party product providers may not be sought or obtained for any program or event other than the programs and events described in the ML Cash and Non-Cash Compensation policy. Please refer to the ML Cash and Non-Cash Compensation and Reimbursement for 3rd Party Product & Service providers policy. If you need a copy of the policy please contact your ML Relationship Manager.

Date Submitted to Merrill Lynch: _____ **Submitted to:** _____

Projected Invitation Launch Date: _____

Product Line: _____

For example, Mutual Funds; Consults; Annuities; Insurance; Alternative Investments

Event Organization:

3rd Party Company Name: _____

3rd Party Relationship Manager/National Account Manager: _____

3rd Party Contact Name: _____ Phone: _____

3rd Party Contact Email Address: _____

Attendees:

Estimated # of ML associates: _____

(Guests & spouses may not participate in the training program or meeting; all expenses must be paid for by the ML associate for any guest/spouse accompanying the ML associate.)

Selection Criteria - How were the invitees selected to be invited? Please provide detail. (i.e., LOS, Total Production, PCs generated, etc.)

Meeting Details: If the event is cancelled or the meeting date changes please notify Merrill Lynch.

Arrival: _____ Departure: _____

Meeting Location - As per FINRA conduct rules the location of the meeting must take place in the home office city of the 3rd party meeting sponsor.

Meeting Facility: _____ City & State: _____

Is the location the firm's Home Office Location? Yes No

Is this Due Diligence meeting exclusively for Merrill Lynch associates? Yes No

