

Merrill Lynch 3rd Party Sponsored National Due Diligence Training Form

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

in whole or in part from third party product in accordance with ML firm policies. Paym or event other than the programs and events	ssociates, managers and branch offices may not receive cash or non-cash compensation providers or distributors of investment products or services sold through ML other than ent from third-party product providers may not be sought or obtained for any program described in the ML Cash and Non-Cash Compensation policy. Please refer to the ML nbursement for 3 rd Party Product & Service providers policy. If you need a copy of the Manager.
Date Submitted to Merrill Lynch:	Submitted to:
Projected Invitation Launch Date:	
Product Line:	
For example, Mutual Funds; Consults; A	Annuities; Insurance; Alternative Investments
Event Organization:	
3 rd Party Company Name:	
3 rd Party Relationship Manager/National	l Account Manager:
3 rd Party Contact Email Address:	Phone:
Attendees:	
Estimated # of ML associates: (Guests & spouses may not participate in the any guest/spouse accompanying the ML associates.	ne training program or meeting; all expenses must be paid for by the ML associate for
Selection Criteria - How were the invigenerated, etc.)	tees selected to be invited? Please provide detail. (i.e., LOS, Total Production, PCs
Meeting Details: If the event is cancel	lled or the meeting date changes please notify Merrill Lynch.
Arrival: Dep	parture:
Meeting Location - As per FINRA cond party meeting sponsor.	uct rules the location of the meeting must take place in the home office city of the 3 rd
Meeting Facility:	City & State:
Is the location the firm's Home Office L Is this Due Diligence meeting exclusive	ocation? Yes No No No No No No No No No N

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Expenses:		
A) PRE-APPROVAL Pre-Approval: Overall Anticipated Cost Pre-Approval On-Site Miscellaneous Ca	\$sh Disbursements \$	
Note 1 : 3 rd parties are permitted to make to/from the arrival airport/train station to		only for the following scenario - Taxi transportation
	Disbursements \$FAs including, FA first name	e, FA last name, FA city, FA state and dollar amount
 during due diligence programs: non-business related activities (e.g. entertainment before, during, or a Merrill Lynch associate's guest; a cash disbursements other than ind 	from covering costs for the force, spa, sporting event); after the meeting; and dicated above.	ollowing expenses for Merrill Lynch associates
Please include the following when sub	mitting paperwork for:	
Pre-Approval - Required 30 days prio This form and section A comple Agenda Invitation (Meeting Details) & F ML attendees to be invited**	eted Orde	t-Event - Must be submitted 120 days post-event in er for future DD meetings to be approved. Original form and section B completed Agenda Final List of ML Attendees** If on-site cash disbursement, list of FAs as indicated in section B.
		and FA state. 3 rd party meeting sponsors are required to vitations being launched (verbal or written).
Requests for pre-approval should be e	emailed to your Merrill Lyn	ch Relationship Manager.
	ecisions to include these repre	ve of Merrill Lynch CBRU Event Review Team and/or esentatives will be made at the discretion of Merrill Lynch
Note 3: Any additional incidentals mus be made payable to Merrill Lynch.	t be coordinated through the I	FA's office/complex/region. Reimbursements to FAs must
		ompliance with the Merrill Lynch Cash and Non-Cash A Manager approvals have been secured prior to invites
Print Name	Signature	Title

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