

# L.M. KOHN & COMPANY

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MEMBER FINRA AND SIPC

## REQUEST TO SWITCH INVESTMENTS

Date \_\_\_\_\_

To Whom It May Concern:

Please sell my investment(s) in \_\_\_\_\_  
(Name of Security/List of Symbols)

Account number \_\_\_\_\_

And purchase shares in \_\_\_\_\_  
(Name of Security/List of Symbols)

### CLIENT PLEASE COMPLETE AND INITIAL EACH ITEM BELOW

- \_\_\_\_\_ 1. I realize it is **NOT** L.M. Kohn & Company's policy to recommend the sale and purchase of securities unless a person's investment or personal objectives may better be served.
- \_\_\_\_\_ 2. I understand that I will have to pay an additional sales charge of \_\_\_\_\_% or \$\_\_\_\_\_ (approximate)
- \_\_\_\_\_ 3. I understand that I will have to pay a deferred sales charge of \_\_\_\_\_% or \$\_\_\_\_\_ (approximate)
- \_\_\_\_\_ 4. The objective of the original investment was \_\_\_\_\_ and now is \_\_\_\_\_.
- \_\_\_\_\_ 5. As a result of the exchange investment risk is \_\_\_ increased \_\_\_ decreased, \_\_\_ about the same (check one)
- \_\_\_\_\_ 6. If my original investment was a mutual fund within a group of funds under the same management, I realize that I can exchange funds within the same fund company without a sales charge.
- \_\_\_\_\_ 7. I realize that if I am switching fund share classes, that I may incur higher annual expenses.
- \_\_\_\_\_ 8. I made my original investment approximately \_\_\_\_\_ months ago.
- \_\_\_\_\_ 9. This recommended exchange/sale of securities was \_\_\_ unsolicited, \_\_\_ solicited (check one).
- \_\_\_\_\_ 10. The reason I am making the exchange/sale of securities is \_\_\_\_\_

\_\_\_\_\_  
(Client's Signature)

\_\_\_\_\_  
Client Name Printed

\_\_\_\_\_  
(Client's Signature)

\_\_\_\_\_  
Client Name Printed

\_\_\_\_\_  
(Representative's Signature)

\_\_\_\_\_  
Rep Name & Number

\_\_\_\_\_  
(Manager of Office of Supervisory Jurisdiction)