



HAZARD & SIEGEL INC.
BROKER DEALER BEST INTEREST DISCLOSURE

CLIENT NAME(S) _____ REPRESENTATIVE NAME _____

INVESTMENT TYPE ___ MUTUAL FUND ___ ANNUITY ___ 529 ___ GROUP RETIREMENT ___ LIFE INS

SHARE CLASS _____ TOTAL CLIENT HOLDINGS IN COMPANY, INCLUDING TODAY \$ _____

SOURCE OF FUNDS _____

TODAY'S PURCHASE AMOUNTS _____ BREAKPOINT Y / N / NA

Hazard & Siegel Inc. as the FINRA registered broker/dealer, along with its registered representative, listed above, certifies that the above referenced investment made today complies with the impartial conduct standards of fiduciary norms and basic standards of fair dealing. This means that:

- The firm and its representative is acting with prudence and loyalty, and the recommendation made has been done with a professional standard of care (duty of care) and in the best interest of the client (duty of loyalty)
- The firm and its representative is charging reasonable compensation
- The firm and its representative has made no misleading statements about investment transactions, compensation, and potential conflicts of interest

The client listed above acknowledges the following:

- The registered representative has explained the items listed above
- The proposed investment is, in fact, in their best interest
- The registered representative has explained the potential differences in how the firm and the registered representative may be compensated for qualified and/or annuity account investments. Furthermore, the client acknowledges and agrees that such compensation may not be the same in all accounts or across multiple accounts owned by the same client.
- The registered representative has explained any potential conflicts of interest in today's proposed investment.
- If this investment is a result of a transfer from an employer sponsored retirement plan, the registered representative has reviewed the parameters of the group plan in contrast to this proposed qualified plan investment. The client agrees that they believe that the transfer to this individually owned retirement account is in their best interest.
- The client has received a current copy of the Hazard & Siegel Customer Relationship Summary.

Signed at _____ on date _____

CLIENT

REGISTERED REPRESENTATIVE

HAZARD & SIEGEL PRINCIPAL NAME

SIGNATURE