KINGSWOOD

Best Interest Rationale

1. Investment & Best Interest Details

a. Issuer: _____

b. Product Name: _____

Select if this is for a block trade (advisory only)

If advisory block trade, please attach allocation spreadsheet and skip items d & e. Proceed to item f.

c. Purchase is: Solicited Unsolicited Commission Percentage: _____ % *(if applicable)*

d. Price Per Note/Unit: _____ Shares/Units: _____

e. Total Dollar Amount of Investment: _____

f. **Provide an explanation of why this specific structured product is in the investor's best interest:** *(Required)*

2. Representative Attestation

All Regulation Best Interest disclosures have been delivered verbally and/or in writing. All of the relevant features, benefits, and risks of this product, including, but not limited to, liquidity considerations, payoff structure, call features, and issuer default/credit risks were discussed with client(s).

I have gathered all relevant information provided by my client(s) prior to recommending this product to my client(s), such as other current investments, concentration in structured products, and current and future liquidity needs. Discussed Kingswood Disclosure Website.

I have no incentive arrangement between myself and the offeror in the sale of this product, nor is it conditioned on the achievement of a sales target. I have discussed all actual and potential conflicts of interest with the client(s).

Rep Signature: _____ Date: _____

Joint Rep Signature: _____ Date: _____

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