



LEVEL FOUR

Advisory Services

A DIVISION OF
LEVEL FOUR GROUP, LLC

LF003

Form #

Branch #

Account #

Account #

FA #

TRADE ERRORS AND CORRECTIONS REPORT

Account Name: _____

Account Type: BD Advisory

Please Select One: Error Correction(s) Trade Adjustment(s)

Origin of Error: FP Client Other

Trade Detail (if more than one trade, attach separate detail):

Trade Date: _____ Trade Time: _____ Settlement Date: _____ Cancel Date: _____

Security Description/Symbol: _____ Transaction #: _____ Type of Transaction: Buy Sell

Quantity/Shares: _____ Correction Completed: Yes No Realized Gain/Loss: _____

Type of Correction (check all that apply):

Bought/Sold Incorrectly (i.e. bought should have sold)

Duplicate Trade

Trade at Wrong Price (i.e. market vs. limit)

Incorrect Account Correct Account: _____ Client Name: _____

Incorrect Quantity Correct Quantity: _____

Incorrect Security Correct Security: _____

Incorrect Block Trade allocation (Note: failure to allocate block trades fairly to advisory clients is a violation of fiduciary duty) If a Level Four Advisory client, please describe your allocation methodology: _____

Delayed Execution of Trade Instructions Correct Date/Time: _____

Please provide explanation if delay exceeded 2 business days: _____

Incorrect Settlement Date Correct Settlement Date: _____

Please provide explanation for delay if past settlement date: _____

Other (please describe): _____

Is client aware of error? Yes No

(Note: attempted concealment of a trading error from an advisory client is a violation of fiduciary duty. If a Harbor advisory client trade error, please attach copy of written client notification.)

Financial Professional Name/Signature _____

Date _____

Principal Name/Signature _____

Date _____

Approved

Not approved

Notes: _____

Level Four Financial, LLC Member FINRA & SIPC

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