



# TRADE ERROR REPORT

Symbol:	Security Description:	#Shares/Qty:	Cusip:
Person Writing L&E Ticket:		Profit or Loss*:	
Date Error Occurred:		Date Error Discovered:	
Client Account #:		Client Short Name:	
RR No.:	Error Classification:		
RR Charged: <input type="checkbox"/> Yes <input type="checkbox"/> No Other:	<input type="checkbox"/> Broker	<input type="checkbox"/> Operations	
Advisory Account: <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Wire Room	<input type="checkbox"/> System/Exchange	
	<input type="checkbox"/> Other	<input type="checkbox"/> Customer Accommodation	
Reason for Error (Details):			
Resolution of Error (Details):			
Signature of Person Reporting Error:		Date:	
Approval—Operations:		Date:	
Approval—Branch Manager:		Date:	
Approval—Registered Representative:		Date:	
Approval—Retail Division Officer:		Date:	

\*required for errors over \$1,000.00

Fax completed form to 205.879.6771.