



RECONCILIATION OF SPONSOR FUNDS INSTRUCTIONS

Please take the time to carefully review these instructions and the Reconciliation of Sponsor Funds (see page 2). If you need any further assistance in completing this form, please contact one of the specialists of the Department of OSJ Supervision at 310.257.7608.

Overview

- This form is to be used when an associated person is submitting expenses for sponsor reimbursement incurred as a result of an educational/training event hosted by the home office/field office or for a customer/prospect seminar.
- Product sponsor reimbursement is only allowed for actual, appropriate expenses related to an event that has received Cetera Advisor Networks' prior approval by completing the Request for Use of Sponsor Funds Form, CAN 510.
- Upon review, the Department of OSJ Supervision will send the requester written notification (via e-mail or facsimile) of either the approval or denial of the expenses.
- Once approved, product sponsors are to pay reimbursement directly to Cetera Advisor Networks at 200 Pacific Coast Highway, Suite 1300, El Segundo, Calif. 90245 to the attention of the Department of OSJ Supervision.

Meeting Details

Use the exact same name and date for the meeting. If the date of the meeting changed from the original submission, please include both dates and indicate the change.

Attachments

Approval for reimbursement cannot be completed until the following items have been received.

- Final agenda/invitation – a final agenda must be included with the request if there were any changes. If there were no changes from the original submission, this should be indicated. In addition, if there were any changes to the invitation or other information provided to meeting participants these must also be provided at this time. (Note: any items listed on the final agenda or invitations that were not pre-approved may result in denial of part or all of the requested reimbursement.)
- Final list of attendees – a final list of attendees must be included with the request.
- Documentation and receipts of expenses – copies of all receipts and invoices for expenses incurred (i.e., final invoices, credit card receipts/statements or cancelled checks verifying payment), including receipts for any reimbursement made by the product sponsor directly to the service vendor(s), must be included with submission.
- Do not submit final receipts/invoices for incurred expenses to product sponsor until Cetera Advisor Networks approves this reimbursement.

Actual Expenses Incurred

- For each product sponsor providing reimbursement for the meeting/seminar's expenses provide: product sponsor name and actual reimbursement amount. Please copy the Reconciliation of Sponsor Funds form for additional product sponsors so that all product sponsors funding this event are fully disclosed.
- Final receipts/invoices must be submitted for each eligible expense for which you are seeking reimbursement. Each receipt/invoice must represent an actual expense incurred by the person who is to be reimbursed. Sponsor payments for costs exceeding the original request may be denied absent sufficient justification.



Tracking Number
(if required)

RECONCILIATION OF SPONSOR FUNDS

To obtain sponsor reimbursement for expenses incurred for a Cetera Advisor Networks approved meeting/seminar, please complete this form and submit it along with the requested supporting documentation to Cetera Advisor Networks' home office, Attention: Department of OSJ Supervision, via fax at 877.339.0594.

Today's Date _____

Meeting Details

Meeting Name _____ Date(s) of Meeting _____

Attachments

- 1. Final agenda/invitation: Attached Already Submitted
- 2. Final list of attendees.
- 3. Documentation and receipts of expenses.

Type of Reconciliation

Reimbursements

Representative Name	Rep#	Representative Name	Rep#
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Sponsor Paid Direct

Name of Vendor Being Reimbursed _____

Actual Expenses Incurred

Name of Product Sponsor Providing the Funds	Expense Amount	Purpose of the Expense <small>(Meals, facility rental fee, educational materials, invitation printing & postage costs)</small>
	\$	
	\$	
	\$	

Reimbursement cannot be processed until the final agenda/invitation, list of attendees and receipts/invoices have been received.

Receipts must be submitted for each expense in which you are seeking reimbursement. Each receipt/invoice must represent an actual expense incurred by the person who is to be reimbursed.

Individual submitting the reimbursement request:

Representative Printed Name	Representative's Signature	Date
Representative Phone Number	Rep Number/Office Number	

Home Office Use Only

Final Receipts/Invoices Received Final Agenda Received Final Attendee List Received

Approved Denied Reason: _____

Approved by:

Print Reviewer's Name	Reviewer's Signature	Date
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Requests over \$15,000 require chief compliance officer approval.

Print Chief Compliance Officer's Name	Chief Compliance Officer's Signature	Date
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