

Compliance

As long as you are not aware of any potential issues and the client meets the below criteria, you can enter them in compliance direct only if they confirm attendance. Questions or concerns should be directed to the ABC group.

Criteria:

- Invitees should be limited to the wealth management client (or prospect) and/or their family members
- No sensitive counterparts (including public officials, regulatory agencies, etc.)
- DB payment of client travel & accommodation is not permitted
- Pending business at the time of invite is not permitted (i.e. specific discussions pertaining to investment type and amount have occurred and decision or action is pending with client, or discussion on moving assets from bank x to DB).
- Prospective business is ok – general relationship building.

If they confirm, please use the following link to do this:

- The costs associated with this ticket type are: 11am Preview – \$376.90
- Enter in comments section - Parent ID: [REDACTED] (enter in comments section)

Invitation (cut and paste/forward the below):

We hope you will be available to join us for the Preview of Frieze London. Below is the invitation which includes a registration link if you would like to reserve tickets. If you have any questions, please let me know.