

2. Did the firm place a restriction on Thomas's account? If so, when and why was the account restricted?

RESPONSE: Yes, the firm placed a restriction on the account on August 25, which remains in place. On August 22, 2022 Mr. Tom Price and Mr. Jeff Price called Financial Advisor Brooke Behrens and indicated that Mr. Tom Price wanted to gift \$3.5 million to his son. Ms. Behrens was concerned with the tax implications as well as the sudden desire to transfer funds that were designated to be distributed to Mr. Tom Price's children upon his death. Ms. Behrens recommended that Mr. Tom Price confer with an accountant and an attorney and also reached out to the home office for guidance. The following day, August 23, 2022, Ms. Theresa Kuhns called and expressed concerns about Mr. Tom Price's understanding of the previous conversation. Ms. Behrens also had concerns that Mr. Tom Price had shown some cognitive decline. Please see letters to the client indicating the restriction, Bates labeled EJBEHRENS_FINRA_000005-000006.