

Contact Activities and Notes

All figures effective as of print date

PRICE, TOM & HELEN (1/5)
 Trust Account
 92525200
 U/A DTID 04/06/2015
 THOMAS JR & HELEN J PRICE TR
 3916 N POTSDAM AVE UNIT 1869
 SIOUX FALLS, SD 57104-7048

(913)390-0674 (H) (P)
 No phone number given (W)
 No alternate phone number given

Call Preference: No Preference

Completed Activities from January 01, 2021 thru April 06, 2023

Completion Date	Type	Activity Date	Description	Need	Maturity Date	Amount
03/29/23	Note	03/29/23	WordPower Email: VOC - Client Relationship Survey Email ... Voice of Client Survey letter email 3/29/23			
03/13/23	Note	03/13/23	WordPower Email: Daily Market Snapshot - BOA ... Daily Market Snapshot re Silicon Valley Bank failure emailed 3/13/23			
02/07/23	TDDo	02/07/23	Birthday Call: Tom 2/7. Have Brooke call			
02/01/23	TDDo	02/01/23	Call Cedar Lake Village and make sure rent has been received.			
01/27/23	Note	01/27/23	Home Office Correspondence: Activity in Your Account (NC_R)			
01/27/23	Note	01/27/23	Home Office Correspondence: Activity in Your Account (NC_R)			
01/19/23	Note	01/19/23	Contacted Kim in Senior protection team after receive letter from client and was told to scan in under incoming correspondence.			
01/18/23	Note	01/18/23	Home Office Correspondence: Activity in Your Account (NC_R)		01/25/23	\$75,000
01/11/23	MDue	01/25/23	MORGAN STANLEY BK N A SALT CERTIFICATE OF DEPOSIT		09/01/22	\$30,000
01/11/23	MDue	09/01/22	DICKINSON CNTY KANS UNIT SCH DI SCH BLDG		12/08/22	\$108,000
01/11/23	MDue	11/09/22	2.50% WELLS FARGO BK N A SIOUX FALLS CERTIFICATE OF DEPOSIT			

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Completed Activities from January 01, 2021 thru April 06, 2023

List sorted by Completion Date and Time

Completion Date	Type	Activity Date	Description	Need	Maturity Date	Amount
12/07/22	Todo	12/05/22	rgst'd 11/2 Have Jim Eastley's office request II for Hartford Life Policy that Kids have. Gift ch in system in 2016. Possibly try to talk them through doing the II on their own system? Emailed Jim's BOA 12/3			
11/21/22	Note	11/21/22	Home Office Correspondence: Activity in Your Account (NC_R)			
11/13/22	Note	11/13/22	Home Office Correspondence: Activity in Your Account (NC_R)			
11/11/22	MDue	11/08/22	2.40% CAPITAL ONE BK USA NATL ASSN CERTIFICATE OF DEPOSIT		11/08/22	\$25,000
10/21/22	Note	10/21/22	Home Office Correspondence: Activity in Your Account (NC_R)			
10/20/22	Todo	10/20/22	*** RECURRING ACTIVITY EXPIRES TODAY ***Email Dan to lift restrictions to send Monthly SWPS on the 20th.			
10/19/22	Note	10/19/22	WordPower Email: FA/BOA Out of Office ... Email baby announcement 10/19/22			
10/11/22	Todo	04/18/23	6 Month Call			
09/28/22	Call	09/28/22	Wed, 28-Sep-2022 9:56am (FA, BD): Tried to contact Tom twice, phone was busy both times.			
09/28/22	Call	09/28/22	Wed, 28-Sep-2022 9:24am (FA, BD): Tried to call Tom to talk about tax docs. Phone line was busy.			
09/23/22	Appt. In Off	09/22/22	Tentative call			
09/21/22	Note	09/21/22	Home Office Correspondence: Activity in Your Account (NC_R)			
09/21/22	Call	09/21/22	Wed, 21-Sep-2022 10:24am (FA, BD): Tried to call Tom- phone rang. Let phone ring until it started a busy signal.			
09/21/22	Call	09/21/22	Wed, 21-Sep-2022 8:57am (FA, BD): Tried to call Tom. The line was busy.			
09/20/22	Todo	09/20/22	*** RECURRING ACTIVITY EXPIRES TODAY ***Email Dan to lift restrictions to send Monthly SWPS on the 20th.			
09/20/22	Todo	09/20/22	Email Dan to lift restrictions to send Monthly SWPS on the 20th.			
09/19/22	CBK	09/15/22	**FYI** Thu, 15-Sep-2022 1:54pm (Tailored BOA Support, Crawford, Debbie): Terry Kuhn was returning your call from yesterday			
09/19/22	Note	09/19/22	WordPower Letter: Forbes Next-Gen Ranking 2022 ... WordPower: Top Next-Gen Best in State 2022	Administrative		

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Contact Activities and Notes

PRICE, TOM & HELEN (1/S) (913)390-0674 (H) (P)
 Trust Account No phone number given (W)
 92525200 No alternate phone number given
 U/A DTD 04/06/2015
 THOMAS JR & HELEN J PRICE TR
 3916 N POTSDAM AVE UNIT 1869
 SIOUX FALLS, SD 57104-7048
 Call Preference: No Preference

Completed Activities from January 01, 2021 thru April 06, 2023

Completion Date	Type	Activity Date	Description	Need	Maturity Date	Amount
09/19/22	Todo	09/19/22	Make sure money has been transferred back.			
09/16/22	CBK	09/15/22	Thu, 15-Sep-2022 1:54pm (Tailored BOA Support, Crawford,Debbie): Terry Kuhn was returning your call from yesterday			
09/16/22	CBK	09/15/22	**FYI** Thu, 15-Sep-2022 1:54pm (Tailored BOA Support, Crawford,Debbie): Terry Kuhn was returning your call from yesterday			
09/15/22	Appt-Review	09/14/22	Reschedule per FSD, Dan, wait for letter. Annual Review	Retirement		
09/13/22	Appt-Phone	09/12/22	Phone call with Jeff and Tom. Per Dan at FSD, I can disclose information on call as long as Tom approves.			
09/01/22	Call	09/01/22	Thu, 01-Sep-2022 5:17pm (FA, BD): Talked to Terri on August 31 in AM. She wanted to let me know she is filing an order of protection with KS Dept of Children and Family Services on behalf of her dad against Jeff. I called FSD, Dan Cox to let him know about situation.			
08/30/22	Call	08/29/22	Call placed on Aug 29 around 12:40 PM to Tom. I called Tom to let him know we had received a POA document and ask if we had permission to add it to his account. He did not pick up. His phone does not have a VM.			
08/29/22	Call	08/29/22	Mon, 29-Aug-2022 12:40pm (FA, BD): After talking with Dan (client protection FSD), I called Teresa. I let her know that I could not reveal any titling info. I walked through how a POA could be added to an account at EJ and that it requires either client permission or a letter of incapacitation.			
08/26/22	Appt-In Off	08/25/22	Phone call with Teresa			
08/26/22	Appt-In Off	08/25/22	Call with Tom and Jeff			
08/22/22	Call	08/22/22	Mon, 22-Aug-2022 4:33pm (FA, BD): Talked to Tom. He gave permission to send POA summary form to attorney Maggie. I explained that now that we know POA exists that we need to get information, preferably have attorney fill out (per conversation with Mike E. FSD). I suggested that the family (both son and daughter) meet together for Aug 30 meeting. Tom requested I call and discuss this conversation with Jeff.			
08/22/22	Note	08/22/22	After Tom gave permission (Aug 22 at 4:33 pm) to talk with Jeff, I (Brooke, FA) called Jeff and let him know that Tom gave permission to fax POA summary form to attorney Maggie. I explained that now that we know POA exists that we need to get information, preferably have attorney fill out (per conversation with Mike E. FSD). I suggested the family (both son and daughter) meet together for Aug 30 meeting.			

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Contact Activities and Notes

PRICE, TOM & HELEN (1/S) Trust Account 92525200 U/A DTD 04/06/2015 THOMAS JR & HELEN J PRICE TR 3916 N POTSDAM AVE UNIT 1869 SIOUX FALLS, SD 57104-7048	(913)390-0674 (H) (P) No phone number given (W) No alternate phone number given	Call Preference: No Preference
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Completed Activities from January 01, 2021 thru April 06, 2023

Completion Date	Type	Activity Date	Description	Need	Maturity Date	Amount
08/12/22	Note	08/12/22	Home Office Correspondence: Confirming your goal's Portfolio Objective			
08/11/22	Call	08/11/22	Thu, 11-Aug-2022 5:13pm (FA, BD) : Talked to Tom, son Jeff, and daughter Terry. Tom gave permis sion to talk to everyone openly about his finances. He was concerned about the performance/dro p in his account. He wanted to know how he could move from med-high risk to low risk. I explai ned that we could do exchanges in mutual funds from stock funds to bond funds, which would not cause taxes or create fees. Tom said he was considering moving all investments in money marke t. We discussed BTG, BTG&I, and BTI model portfolios. We discussed how he would still have ups and downs in each of these models. We discussed exchanging into Am Funds mmkt or selling int o EJ mmkt. I suggested between the two I would exchange into Am Funds mmkt to avoid any poss ible fees/CDS/C if he wanted to reinvest in the future. I recommended Tom stay invested in the stock market but reduce his risk by moving 10% of his money out of stocks per his concern (fro m 60% stocks->50% stocks) by doing exchanges. Then in the future, we could do more exchanges t o make him more conservative over time. We discussed his performance over the long term. We di scussed how EJ has a long term investment philosophy and we would consider a move into mmkt a nd out of mmkt to be timing the market, which EJ does not recommend. Tom is most concerned ab out his Roth account (more aggressive- GF). We discussed how I would create proposal that Jeff would pick up tomorrow. They wanted to think about any action before making any trades.			
07/25/22	Note	07/25/22	Home Office Correspondence: Change to a Service on Your Account (NC_SC)			
07/11/22	Note	07/11/22	Home Office Correspondence: Service Set Up on Your Account (NC_S)			
07/01/22	Note	07/01/22	WordPower Email: FA / BOA Out of Office --- Brooke out of office 7/4-7/11/22. Emailed 7/1/22			
06/28/22	Note	06/28/22	WordPower Email: American Funds Seminars - BOA --- WordPower: Email Invitation to Am. Funds Se minar on July 14, 2022.			
06/07/22	Note	06/07/22	American Funds Seminar July 14 invite (used Hallmark invite)			
05/20/22	Note	05/20/22	Address Verification Letter: Address / Name Change			
05/20/22	Note	05/20/22	WordPower Letter: Admin. Forms/Documents Cover Notes ... View & Share Auth form for Online Acc ount 5/20/22			
05/16/22	Note	05/16/22	Per Mike Eisenbath, if Tom doesn't have a computer, he cannot be set up for Account Access to get his statements electronically. EJ has to have a guaranteed way for the client to get state ments so since Tom doesn't have a computer, he would not be able to access statements electron ically. He would need to receive statements in paper form. kn			

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PRICE, TOM & HELEN (1/3) Trust Account 92525200 U/A DTD 04/06/2015 THOMAS JR & HELEN J PRICE TR 3916 N POTSDAM AVE UNIT 1869 SIOUX FALLS, SD 57104-7048	(913)390-0674 (H) (F) No phone number given (W) No alternate phone number given	Call Preference: No Preference
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Completed Activities from January 01, 2021 thru April 06, 2023

Completion Date	Completion Type	Activity Date	Description	Need	Maturity Date	Amount
05/12/22	Note	05/12/22	Spoke with Jeff Price. Told Jeff that Tom would have to approve changing his mailing address to South Dakota and if he did, we also need to set Jeff up as interested party. South Dakota address would receive duplicate copies of monthly statements and trade confirms. Jeff also mentioned an account for Kelly McLees where Helen is still receiving duplicate statements. I told Jeff that Kelly would need to call her current advisor to get Helen removed as interested party if that's what Kelly wants to happen. kn			
05/12/22	Note	05/12/22	Spoke with Mike Eisenbath. Mike said we could change Tom's mailing address to be Jeff's South Dakota address if we got verbal permission from Tom that he was comfortable with that. If Tom's mailing address becomes South Dakota, Brooke will need to be licensed in South Dakota (she already is) and we would have to add Jeff as interested party. The South Dakota address would receive two copies of statements (one from interested party and one from Tom's mailing address.) kn			
04/27/22	Note	04/27/22	WordPower Email: Message from Edward Jones ... Market Pulse: Growth Concerns Overshadow Fundamentals 4/27/22			
04/26/22	Note	04/26/22	WordPower Letter: KC Night at the Ballpark ... 2022 Royal's Day at the K 4/26/22			
04/14/22	Call	04/14/22	Birthday Call: Helen 4/14. Have Brooke Call			
04/08/22	Call	03/31/22	6 Month Call			
04/07/22	Note	04/07/22	WordPower Letter: Money Due ... Goldman Sachs Bk \$110,000 4/8/22			
03/10/22	Note	03/10/22	WordPower Email: Market Pulse update: Markets Wrestle with a Commodity Price Shock - Our Take on Its Impact ... Markets wrestle with commodity price shock-our take on its impact 3/10			
02/24/22	Note	02/24/22	WordPower Email: Market Pulse update: Geopolitical tensions add to near-term uncertainty ... Weekly Market Wrap re Ukraine emailed 2/24/22			
02/07/22	Call	02/07/22	Birthday Call: Tom 2/7. Have Brooke call			
12/03/21	Todo	12/01/21	First'd 11/2 Have Jim Eastley's office request II for Hartford Life Policy that Kids have. Gift ch in system in 2016. Possibly try to talk them through doing the II on their own system? Emailled Jim's BOA 12/3			
10/13/21	Note	10/13/21	Home Office Correspondence: Confirming your goal's Portfolio Objective			
10/12/21	Note	10/12/21	WordPower Letter: Generic Cover Letters ... NW, ARA 10/12/21			
10/12/21	Appt-Review	10/11/21	done Called and LWM 10/8: confirmed Annual ZOOM Review			
10/11/21	MDue	09/01/21	3.50% MC PHERSON CNTY KANS UNI SCH D REFUNDING & IMPROVEMENT		09/01/21	\$15,000

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Completed Activities from January 01, 2021 thru April 06, 2023

Completion Date	Type	Activity Date	Description	Need	Maturity Date	Amount
08/25/21	Note	08/25/21	WordPower Letter: Money Due ... McPherson Cnty Kans Uni Sch \$15,000.00 9/1/21			
07/28/21	Note	07/28/21	WordPower Letter: Introduce BOA/BOA Retires ... BOA Julie leaving, new BOA Megan starting 7/28/21			
07/01/21	Todo	07/01/21	make sure address monthly statements were mailed to is Tom's & not Megan's.			
06/16/21	CBK	06/15/21	Wed. 16-Jun-2021 10:57am (FA, BD): Talked to Jeff and Tom. He (tom) wanted to purchase some tf bond funds. We discussed upfront fee and CDSC. Tue. 15-Jun-2021 4:17pm (FA, BD): LM to CB 6 /16 10:45 224-542-9588. Jeff ret'd call. Call Jeff & he'll get Tom on the phone. kn 6/15 3:30 8 56-6393. Tom wants to put \$90000 mkt into a mutual fund. I spoke to Tom & Jeff & ACHd \$19914 to bank and the rest of mkt goes into mfd. kn			
06/16/21	MDue	06/14/21	2.50% MORGAN STANLEY BK N A SALT CERTIFICATE OF DEPOSIT SEMI-ANNUA		06/14/21	\$40,000
06/16/21	Todo	06/16/21	\$19914.57 ach?			
06/15/21	Note	06/15/21	Home Office Correspondence: Activity in Your Account (NC DS)			
06/10/21	Note	06/10/21	Home Office Correspondence: Activity in Your Account (NC DS)			
06/10/21	Note	06/10/21	WordPower Letter: Money Due ... Morgan Stanley BK \$40000 6/14/21			
06/10/21	MDue	06/04/21	6/10/21 per Tom. ACH this money to his bank///2.65% GOLDMAN SACHS BK USA NEW YORK CERTIFICATE OF DEPOSIT		06/04/21	\$20,000
06/10/21	CBK	06/10/21	6/10/21 I spoke to Tom & he wanted this money due sent to his bank - he may buy a new tractor. kn 6/9 1:50 856-6393. Tom re \$ due. kn			
06/03/21	Note	06/03/21	WordPower Letter: Money Due ... Goldman Sachs Bk \$20000 6/4/21			
05/18/21	CBK	05/18/21	5/18 3:35 856-6393. Tom ret'd your call. kn Tue. 18-May-2021 2:57pm (FA, BD): LM for him to cb. 5/18 1:00 856-6393. Tom wants to talk about the stock market. kn			
04/07/21	Call	03/31/21	6 mo call			
02/05/21	Call	02/05/21	Tom's bday is 2/7			
01/25/21	CBK	01/25/21	Mon. 25-Jan-2021 11:52am (FA, BD): Talked Tom and he wanted to invest \$80k in Am funds bond funds. 1/25 9:20 856-6393. Tom re \$ due. kn			
01/25/21	MDue	01/19/21	2.75% CITIBANK NATL ASSN SIOUX FALLS CERTIFICATE OF DEPOSIT		01/19/21	\$30,000
01/15/21	Note	01/15/21	WordPower Email: T. Rowe Price Speaking of Markets - BOA ... Email invite to T Rowe Price seminar 1/15/21			
01/14/21	Note	01/14/21	WordPower Letter: Money Due ... Citibank \$30000 1/19/21			