**Section 130.827 Confirmations**

Every dealer, at or before the completion of each transaction with the dealer's customer, shall give or send to the customer written confirmation disclosing:

a) whether the dealer is acting as agent for the customer, or as a dealer for the dealer's own account, or as an agent for some other person;

b) either the name of the person from whom the security was purchased or to whom it was sold for the customer, and the date and time when the transaction took place or the fact that the information will be furnished upon the request of the customer and the source and amount of any commission or other remuneration received or to be received by the dealer in connection with the transaction; and

c) in the case of transactions effected in securities that are non National Market System OTC Securities in reliance upon Section 4(N) of the Act, a statement to the effect that the transaction was effected pursuant to an unsolicited order or offer to buy by the customer, and requesting that the customer return to the dealer a written acknowledgment that the order or offer to buy was unsolicited.

(Source: Amended at 36 Ill. Reg. 2852, effective February 8, 2012)