



**Third Party Authorization and Indemnity**

**Person of Interest/High Risk Indicators**

U.S. Non-Individual (Select up to five (5) indicators that apply to this account owner.)	<input type="checkbox"/> CASINO (5B)	<input type="checkbox"/> MONEY SERVICE BUS (5D)	<input type="checkbox"/> TRAVEL AGENT (5A)
	<input type="checkbox"/> GEM/PREC MTL DLRS (5C)	<input type="checkbox"/> FOREIGN NGO (5F)	<input type="checkbox"/> NOT APPLICABLE (00)
	<input type="checkbox"/> GUN DLR/FIREARMS (5E)	<input type="checkbox"/> PEP-FOREIGN (5G)	
<hr/>			
U.S. Individual (Select all that apply.)	<input type="checkbox"/> PEP (3A)	<input type="checkbox"/> NOT APPLICABLE (00)	
<hr/>			
Foreign Non-Individual (Select up to five (5) indicators that apply to this account owner.)	<input type="checkbox"/> CASINO (6B)	<input type="checkbox"/> FOREIGN TRUST (6I)	<input type="checkbox"/> FOREIGN NGO (6K)
	<input type="checkbox"/> FFI (6L)	<input type="checkbox"/> GEM/PREC MTL DLRS (6C)	<input type="checkbox"/> PEP-FOREIGN (6N)
	<input type="checkbox"/> FOR FIN INTERMEDIARY (6M)	<input type="checkbox"/> GUN DLR/FIREARMS (6F)	<input type="checkbox"/> TRAVEL AGENT (6A)
	<input type="checkbox"/> FOR OPERATING CO (6G)	<input type="checkbox"/> MONEY SERVICE BUS (6D)	<input type="checkbox"/> NOT APPLICABLE (00)
	<input type="checkbox"/> FOR PERS INV/HOLDING CO (6H)		
<hr/>			
Foreign Individual (Select all that apply.)	<input type="checkbox"/> FOR FIN INTERMEDIARY (3B)	<input type="checkbox"/> PEP (3A)	<input type="checkbox"/> NON-RESIDENT ALIEN (3C)
	<input type="checkbox"/> NOT APPLICABLE (00)		

**Section 3 Authorization**

I/We authorize you and your clearing firm ("you") to accept instructions from the Agent for each of the following selected transactions and to provide Agent with information relating to the Account, including Account balances and/or statements. In addition to the authorities granted below, approved Agents are also granted automatic access to view this Account online.

*Do not initial if agent is a compensated agent and the account is enrolled in an advisory program; trading is not permitted.*

**Authority Granted**

Each Account Owner must initial below to indicate the authority granted.

**A. Trading Authority**

Agent has trading authority. The Agent may not add margin, options or futures trading to the Account. Trading authority is not granted for assets enrolled in a discretionary advisory program. An Agent receiving compensation may not have trading authority over an Account enrolled in an advisory program.

_____	_____
Initial	Initial

*All owners must initial authority granted.*

**B. Asset Movement – Not applicable to UTMA/UGMA, Delivery vs. Payment, or Self-Directed accounts**

Agent has authority to request checks, transfers or distributions in any amount, including the entire balance of the Account made payable to any Account Owner.

**Asset Movement to Any Account Owner**

_____	_____
Initial	Initial

**Asset Movement to Any Third Party (including Agent) – Not applicable if Agent receives compensation for providing investment advice or investment management**

_____	_____
Initial	Initial

*Do not initial if a Compensated Agent; asset movement to a third party is not permitted.*

For each of these selected transactions, you are authorized (but not required) to follow the instructions of the Agent as if you were dealing with me personally, without regard to whether such instruction or transaction may benefit me or appear to be a conflict of interest. **You may at any time refuse to act on any instruction from the Agent and you may require my consent to any specific transaction as you solely determine. You will have no liability for refusing to act on the instructions of the Agent.**

I understand that any changes to the type(s) of authority I have granted to the Agent will require me to execute a new Third Party Authorization and Indemnity form.

## Section 4 Indemnification

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I ratify all transactions made by the Agent. I agree to release you from any liability for following the instructions of the Agent. I agree to indemnify and hold you harmless from any claims (including attorneys' fees) based upon your acting, or refusing to act, on the instructions of the Agent. I agree that you are in no way responsible for any loss caused by the Agent, and that you do not endorse the actions of the Agent. This authorization and indemnity does not restrict any rights you may have under any other agreement(s) with me.

This authorization will be effective until you receive written notice from me of my revocation. If I revoke this authorization, it will not affect any liability the Agent has to you or my indemnity above. This authorization and indemnity will benefit your successor firm(s) and/or your assigns.

This authorization will not terminate if I become incapacitated, incompetent, or disabled. This authorization may terminate if you receive a court document which appoints a guardian or conservator of my estate. In case of my death, this authorization will continue until you have received written notice of my death.

This authorization is not intended to revoke any durable power of attorney that I have executed prior to the date of this authorization.

This authorization cannot be used to allow the Agent to engage in the following: (1) changing the type of Account, including changing this Account to an advisory Account; (2) changing or naming beneficiaries (in the case of a transfer on death (TOD) or IRA Account); (3) establishing margin, if my Account does not already have margin available; or (4) trading in commodities, futures, or options, if my Account has not already been approved for such trading.

I agree that you have not provided any legal advice to me regarding this authorization and that I have had an opportunity to consult with my attorney.

This authorization and my indemnity shall be governed exclusively by and under the laws of the State of New York, regardless of any other agreements applicable to the Account now or in the future and any choice of law provisions in those agreements.

**FOR FIDUCIARY ACCOUNTS ONLY.** The delegation of authority to the Agent is granted by the named fiduciary for the Account and is within and consistent with the powers of the fiduciary under the governing document and/or state law. I understand that a legal opinion from an attorney may be required for this delegation.

**FOR TRUST ACCOUNTS ONLY.** Each of the undersigned Trustee(s) and Agent acknowledges, agrees, and certifies as follows:

1. The trust agreement authorizes the Trustee(s) to delegate their powers to a third party such as the Agent under this authorization. This delegation is also permissible under the law that governs the trust. You have no responsibility to review the Trust Agreement and will solely rely upon the representations of the Trustee(s) and the Agent in this authorization.
2. You will accept instructions from the Agent on the Account pursuant to this authorization until provided notice of: (a) the death, incapacity, removal or resignation of any Trustee; (b) the incapacity, removal, or resignation of the Agent; or (c) the revocation of this authorization.
3. If you are notified of the death, incapacity, removal, or resignation of any Trustee, you will stop accepting instructions from the Agent on the Account. Updated Account documentation may be required.
4. If you have concerns regarding the Trustee(s) capacity to manage their financial affairs, you may require the Trustee(s) to provide a letter from their physician regarding their capacity.
5. You may, at your sole discretion, require a legal opinion from counsel as to the permissibility of delegation of Trustee powers to the Agent pursuant to this authorization under the trust agreement and state law.
6. Trustee(s) and Agent agree to indemnify and hold you harmless from any claims (including without limitation, attorneys' fees) by the trust, the Trustees' estates, beneficiaries or others for following the instructions of the Agent pursuant to this authorization. The obligations of Trustee(s) and Agent under this authorization are joint and several.

## Section 5 Authorizing Signature(s) of the Account Owner(s), with Notary

I/We have read the above terms and conditions and understand this authorization is not intended to take the place of a durable power of attorney. If Agent receives compensation then the Agent's signature certifies Agent is registered as an Investment Advisor with the U.S. Securities and Exchange Commission or a State Regulatory Agency. Agent agrees to notify you if this status changes.

	<b>Client Signature</b>	Print Name	<b>Date</b> (mm/dd/yyyy)
<b>SIGN HERE</b>	<b>X</b> _____	_____	_____
<b>Notary</b> <i>(Signature Must Be Notarized)</i>			
State _____ County _____			
Subscribed to and sworn before me on			
This _____ Day of _____ in Year _____			
By _____			
<i>(Person whose signature is being notarized)</i>			
<b>X</b> _____			
Signature of Official Administering Oath			
My Commission expires _____ Year _____			

*Please make sure all fields have been completed.*

*All owners must sign and date.*

*All signatures must be notarized.*

	<b>Joint Signature</b>	Print Name	<b>Date</b> (mm/dd/yyyy)
<b>SIGN HERE</b>	<b>X</b> _____	_____	_____
<b>Notary</b> <i>(Signature Must Be Notarized)</i>			
State _____ County _____			
Subscribed to and sworn before me on			
This _____ Day of _____ in Year _____			
By _____			
<i>(Person whose signature is being notarized)</i>			
<b>X</b> _____			
Signature of Official Administering Oath			
My Commission expires _____ Year _____			

*Please make sure all fields have been completed.*

*All owners must sign and date.*

*All signatures must be notarized.*

	<b>Agent Signature</b>	Print Name	<b>Date</b> (mm/dd/yyyy)
<b>SIGN HERE</b>	<b>X</b> _____	_____	_____

**Office Use Only:** *Provide a signed copy of this form to Client(s) once it has been completed.*

### Authorizing Signature(s) Financial Advisor and Qualified Supervisor Approval

Financial Advisor Signature	Print Name	Date (mm/dd/yyyy)
<b>X</b> _____	_____	_____
Qualified Supervisor Approval	Print Name	Date (mm/dd/yyyy)
<b>X</b> _____	_____	_____

**Third Party Authorization and Indemnity**

**Government ID Description**

<b>AI</b> Articles of Incorporation	<b>EA</b> Employment Authorization Card	<b>OA</b> Operational Agreement
<b>AO</b> Articles of Organization-LLC	<b>EC</b> Employer ID Card	<b>PA</b> Partnership Agreement
<b>AR</b> Adoption Record	<b>ED</b> Estate/Court Documents	<b>PC</b> Permanent Resident Card
<b>BC</b> Birth Certificate	<b>FD</b> Foreign Issued ID - Non-Driver	<b>PP</b> Passport
<b>BD</b> Border Crossing Card*	<b>FL</b> Foreign Driver's License*	<b>RA</b> Resident Alien ID Card - Green
<b>BL</b> Business License	<b>HC</b> Health Insurance Card (No Medicare Card)	<b>SC</b> School ID Card
<b>BV</b> B1B2 Visa	<b>LP</b> Life Insurance Policy	<b>ST</b> State ID Card
<b>CD</b> Court Document	<b>MD</b> Marriage or Divorce Record	<b>TI</b> Tribal ID
<b>CE</b> Cedula	<b>MR</b> Armed Forces	<b>TP</b> Trusted Certification of Investment Powers
<b>CI</b> Consular ID Card	<b>ND</b> Non-Documentary	<b>TR</b> Trust Document
<b>DL</b> Driver's License	<b>NI</b> National ID Card	

\*If Border Crossing Card or Foreign Driver's License is selected, both Border Crossing Card and Foreign Driver's License forms of ID are required.

**Class Codes Descriptions** *Do not enter "N" for "No" in the Class Code field. • Please leave blank*

**U Employees of Introducing Firm, their spouse, dependent children, or any other person** who is supported directly or indirectly to a material extent by the employee. Also included are accounts in which any of these individuals has a financial or beneficial control or interest such as guardian, custodian, trustee, executor, corporate or legal officer or agent, investment clubs, joint accounts, or partnerships.

**W Employees or brokers of other registered broker-dealer firms,** their dependent accounts, and accounts in which they have a financial or beneficial control or interest, such as guardian, custodian, trustee, executor, corporate or legal officer or agent, investment clubs, joint accounts, or partnerships.

**V Non-dependent immediate family members of an employee of Introducing Firm, which includes** non-dependent children, parents, parents-in-law, brothers or sisters, brothers-in-law or sisters-in-law, sons-in-law or daughters-in-law, children or other persons supported directly or indirectly to a material extent by any of these individuals, and any accounts in which they have a financial or beneficial control or interest such as guardian, custodian, trustee, executor, corporate or legal officer or agent, investment clubs, joint accounts, or partnerships.

**X Immediate family members of employees of other security firms.** Immediate family members include: parents, parents-in-law, spouse, brothers or sisters, brothers-in-law or sisters-in-law, sons-in-law or daughters-in-law, children or other persons supported directly or indirectly to a material extent by any of these individuals, and any accounts in which they have a financial or beneficial control or interest such as guardian, custodian, trustee, executor, corporate or legal officer or agent, investment clubs, joint accounts, or partnerships.

**Occupation Description**

<b>A</b> Proprietor, Professional, Managerial	<b>F</b> Public Service	<b>K</b> Other (Description is Required)
<b>B</b> Information Technology Systems	<b>G</b> Personal Service Provider	<b>L</b> Unemployed
<b>C</b> Craftsmen, Skilled Worker	<b>H</b> Farming, Fishing, Forestry	<b>M</b> Retired
<b>D</b> Sales	<b>I</b> Education	<b>N</b> Student
<b>E</b> Administrative Clerical	<b>J</b> Clergy	<b>P</b> Homemaker

## Agent's Type of Business/Occupational Relationships

### U.S. Non-Individual

**CASINO (5B)** A domestic or foreign entity licensed as a casino, gambling casino, or gaming establishment under the laws of any U.S. state or foreign jurisdiction or any political subdivision of the foregoing.

**GEM/PREC MTL DLRS (5C)** A domestic or foreign person or entity who purchases and sells: jewels, precious metals and stones, and finished goods. This category includes, but is not limited to, jewelry, coins, and antiques.

**GUN DLR/FIREARMS (5E)** A foreign or domestic based business or entity where the primary business involves the sale of guns, weapons, and/or firearms.

**MONEY SERVICE BUS (5D)** An agent, agency, branch, or office of any person or entity located within the U.S. doing business in one or more of the following capacities: currency dealer or exchanger; check casher; issuer of traveler's checks, money orders, or electronic cards with a stored monetary value; seller or redeemer of traveler's checks, money orders, or electronic cards with a stored monetary value; money transmitter; and the United States Postal Service (except with respect to the sale of postage or philatelic products); that is **not** 25% or more owned by a Mexican casa de cambio, which is a nonbank financial institution (currency exchanger) that provides a variety of financial services and is regulated by the Mexican government.

Exception: Persons or entities (other than money transmitters) who do not exchange currency, cash checks, or issue, sell or redeem traveler's checks, money orders, or electronic cards with a stored monetary value in an amount greater than \$1,000 to any person or entity on any day in one or more transactions, are not MSB(s).

**FOREIGN NGO (5F)** A domestic or foreign private, nonprofit organization that pursues activities intended to serve the public good that is not funded 100% by the U.S. government. Includes charities, foundations, religious organizations and other non-profit organizations. NGOs may provide basic social services, work to relieve suffering, promote the interests of the poor, bring citizen concerns to governments, encourage political participation, protect the environment, or undertake community development to serve the needs of citizens, organizations, or groups in one or more of the communities that the NGO operates.

**PEP-FOREIGN (5G)** Foreign PEP includes: A current or former senior official in the executive, legislative, administrative, military, or judicial branches of a foreign government (whether elected or not); a senior official of a major foreign political party; a current or former senior executive of a foreign government-owned corporation; an immediate family member of any individual listed above; a "close associate" of a current

or former senior foreign political figure who is widely and publicly known (or is actually known by the Firm) to maintain an unusually close relationship with this individual and is in a position to conduct substantial domestic and international business. Accounts for PEPs with ties to the current Venezuelan government are prohibited.

**TRAVEL AGENT (5A)** Any domestic or foreign entity who sells, as an agent, the following travel services: airline or rail tickets, hotel and motel reservations, cruise reservations, and/or some combination of those services.

**NOT APPLICABLE (00)**

### U.S. Individual

**PEP (3A)** Foreign PEP includes: a current or former senior official in the executive, legislative, administrative, military, or judicial branches of a foreign government (whether elected or not); a senior official of a major foreign political party; a current or former senior executive of a foreign government-owned corporation; an immediate family member of any individual listed above; and a "close associate" of a current or former senior foreign political figure who is widely and publicly known (or is actually known by the Firm) to maintain an unusually close relationship with this individual and is in a position to conduct substantial domestic and international business. Accounts for PEPs with ties to the current Venezuelan government are prohibited.

**NOT APPLICABLE (00)**

### Foreign Non-Individual

**CASINO (6B)** A domestic or foreign entity licensed as a casino, gambling casino, or gaming establishment under the laws of any U.S. state or foreign jurisdiction or any political subdivision of the foregoing.

**FFI (6L)** Any entity that is: organized under the laws of a foreign country, and engages in the business of: banking, securities dealing, brokerage, investment management, or insurance. Note: This category includes foreign: banks, mutual funds, hedge funds, Futures Merchant Commissions, broker-dealers, and insurance companies.

**FOR FIN INTERMEDIARY (6M)** Includes: a foreign individual that acts as a financial liaison for its own clients, includes lawyers, accountants, investment brokers, and other third parties that act as financial liaisons for their clients; or any entity other than a Foreign Financial Institution which: is organized under the laws of a foreign country, and engages in the business of providing investment, tax, or legal advice.



**FOR OPERATING CO (6G)** Foreign businesses that are: established in a country other than the United States, are not publicly traded on a recognized U.S. exchange, and are engaged in verifiable business activity.

**FOR PERS INV/HOLDING CO (6H)** Includes legal entities: organized under the laws of a country other than the U.S., and formed to hold client assets and maintain client confidentiality by opening accounts in the name of the PIC or the PHC.

**FOREIGN TRUST (6I)** A trust established outside the U.S. that is governed by the laws of a jurisdiction other than the U.S.

**GEM/PREC MTL DLRS (6C)** A domestic or foreign person or entity who purchases and sells: jewels, precious metals and stones, and finished goods. This category includes, but is not limited to, jewelry, coins, and antiques.

**GUN DLR/FIREARMS (6F)** A foreign or domestic based business or entity where the primary business involves the sale of guns, weapons, and/or firearms.

**MONEY SERVICE BUS (6D)** An agent, agency, branch or office of any person or entity located within the U.S. doing business in one or more of the following capacities: currency dealer or exchanger; check casher; issuer of traveler's checks, money orders, or electronic cards with a stored monetary value; seller or redeemer of traveler's checks, money orders, or electronic cards with a stored monetary value; money transmitter; and the United States Postal Service (except with respect to the sale of postage or philatelic products); that is **not** 25% or more owned by a Mexican casa de cambio, which is a nonbank financial institution (currency exchanger) that provides a variety of financial services and is regulated by the Mexican government. Exception: Persons or entities (other than money transmitters) who do not exchange currency, cash checks, or issue, sell or redeem traveler's checks, money orders, or electronic cards with a stored monetary value in an amount greater than \$1,000 to any person or entity on any day in one or more transactions, are not MSB(s).

**FOREIGN NGO (6K)** A domestic or foreign private, nonprofit organization that pursues activities intended to serve the public good that is not funded 100% by the U.S. government. Includes charities, foundations, religious organizations, and other non-profit organizations. NGOs may provide basic social services, work to relieve suffering, promote the interests of the poor, bring citizen concerns to governments, encourage political participation, protect the environment, or undertake community development to serve the needs of citizens, organizations, or groups in one or more of the communities that the NGO operates.

**PEP-FOREIGN (6N)** Foreign PEP includes: a current or former senior official in the executive, legislative, administrative, military, or judicial branches of a foreign government (whether elected or not); a senior official of a major foreign political party; a current or former senior executive of a foreign government-owned corporation; an immediate family member of any individual listed above; and a "close associate" of a current or former senior foreign political figure who is widely and publicly known (or is actually known by the Firm) to maintain an unusually close relationship with this individual and is in a position to conduct substantial domestic and international business. Accounts for PEPs with ties to the current Venezuelan government are prohibited.

**TRAVEL AGENT (6A)** Any domestic or foreign entity who sells, as an agent, the following travel services: airline or rail tickets, hotel and motel reservations, cruise reservations, and/or some combination of those services.

**NOT APPLICABLE (00)**

### Foreign Individual

**FOR FIN INTERMEDIARY (3B)** Includes: a foreign individual that act as a financial liaison for its own clients, includes lawyers, accountants, investment brokers, and other third parties that act as financial liaisons for their clients; or any entity other than a Foreign Financial Institution which: is organized under the laws of a foreign country; and engages in the business of providing investment, tax or legal advice.

**PEP (3A)** Foreign PEP includes: a current or former senior official in the executive, legislative, administrative, military, or judicial branches of a foreign government (whether elected or not); a senior official of a major foreign political party; a current or former senior executive of a foreign government-owned corporation; an immediate family member of any individual listed above; and a "close associate" of a current or former senior foreign political figure who is widely and publicly known (or is actually known by the Firm) to maintain an unusually close relationship with this individual and is in a position to conduct substantial domestic and international business. Accounts for PEPs with ties to the current Venezuelan government are prohibited.

**NON-RESIDENT ALIEN (3C)** An alien is any individual who is not a U.S. citizen or U.S. national.

**NOT APPLICABLE (00)**