

Account Feature Trading Authorization

FTA

Account Number

Instructions: This form grants trading authorization, the ability to remove cash from the account by sending a check to the address of record or by sending a check to a 3rd party financial institution for the benefit of the account owner(s), transfer cash via ACH to a bank account authorized by the account owner(s) and journal cash assets. This form does not, in any way, provide for discretionary trading by the financial professional. Discretionary brokerage accounts are prohibited by LPL Financial. If authorization is being requested for a Trust Account, it is the trustee(s) obligation to ensure the trust enables the agent to be authorized to act on the account prior to submitting the document to LPL Financial. The account holder must sign this document and have it notarized.

This form can be submitted via Electronic Signature. If this form is being wet signed, scan and email it to imaging.email@lpl.com or fax it to (858) 202-8325.

1. Account Information

Account Registration

2. Authorized Agent Information

Authorized Agent Name

Date of Birth

ID Number

Residence Address (no P. O. Boxes) Same as mailing address

Social Security Number

ID Type

ID Issuance Date

Country of Citizenship

Place of Issuance

ID Expiration Date

Home Phone

Mobile Phone

Business Phone

Fax Number

Is this account for the benefit of a Politically Exposed Person (PEP)*? Yes No

If yes, define PEP position:

*A Politically Exposed Person (PEP) is defined as: 1. A current or former senior foreign (non-U.S.) political figure; 2. His/her immediate family members (e.g., parents, spouse, sibling, children, in-laws); 3. Close associates - People who are widely and publicly known to maintain a close relationship with the PEP, including people who are in a position to conduct substantial financial transactions on behalf of the PEP; 4. Any corporation, business or other entity that has been formed by, or for the benefit of, the PEP.

- Mark here and complete the below information if a FINRA employee or person associated with a broker/dealer or municipal securities dealer has a financial interest in, controls trading in, or has discretionary authority over this account (e.g., accounts for minor children). This includes situations where you are employed by FINRA or associated with a broker/dealer or municipal securities dealer. This also includes situations where your spouse, domestic partner, or other immediate family member is employed by FINRA or associated with a broker/dealer or municipal securities dealer.

LPL will notify FINRA, the broker/dealer, or the municipal securities dealer regarding this account and may transmit duplicate statements, confirmations and other information concerning the account. By completing and signing this new account application, you authorize LPL to provide transactional data as listed above to FINRA, the broker/dealer, or municipal securities dealer as applicable.

Full Name of Person Associated with Firm or FINRA

Relationship to Account Holder of Person Associated with Firm or FINRA

Name of Associated Firm (if FINRA, list FINRA)

Address of Person Associated with Firm or FINRA

Corporate Compliance Mailing Address of Firm

- Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months.

Name of Corporation(s)



3. Trading Authorization Type (Select One)

- Limited Trading Authority
Authorizes the person named in Section 2 as his agent and attorney in fact to buy, sell (including short sales), exercise, and trade in stocks, bonds, options contracts and any other securities and/or commodities and/or contracts relating to the same on margin or otherwise in accordance with your terms and conditions for the undersigned's account and risk and in the undersigned's name, or number on LPL's books.
- Full Trading Authorization with Privilege to Request Payment of Money to account holder
Authorizes the person named in Section 2 all capabilities of Limited Trading Authority. The authorized person named in section 2 is able to remove cash from the account by sending a check to the address of record or by sending a check to a 3rd party financial institution for the benefit of the account owner(s). You may also transfer cash via ACH to a bank account authorized by the account owner(s) or journal cash or assets among LPL accounts listed in section 4 held by the same owner(s).

4. LPL Accounts Authorized to Receive Cash or Assets (full trading authorization)

The undersigned hereby authorizes the person named in Section 2 to journal assets or cash from the account listed in Section 1 to the account(s) listed below. At least one owner of the account listed in Section 1 must be an owner of the receiving account listed below.

Account Number <input type="text"/>	Account Number <input type="text"/>	Account Number <input type="text"/>
Account Number <input type="text"/>	Account Number <input type="text"/>	Account Number <input type="text"/>
Account Number <input type="text"/>	Account Number <input type="text"/>	Account Number <input type="text"/>

5. Authorization

The undersigned hereby authorizes the person named in Section 2 as his agent and attorney in fact to buy, sell (including short sales), assign, transfer, and trade in stocks, bonds, options contracts and any other securities and/or commodities and/or contracts relating to the same on margin or otherwise in accordance with your terms and conditions for the undersigned's account and risk and in the undersigned's name, or number on your books.

The undersigned hereby agrees to indemnify and hold LPL Financial LLC (LPL) harmless from and to pay you promptly on demand any and all losses there from or debit balance due thereon. The undersigned hereby ratifies and confirms any and all transactions with you heretofore or hereafter made by the aforesaid agent or for the undersigned's account.

You are authorized to follow the instructions of the above named person in Section 2 and make payment of monies to the account holder's address of record. You are authorized to remove cash from the account by sending a check to the address of record or by sending to a 3rd party financial institution for the benefit of the account owner(s). You may also transfer cash to a bank account pre-authorized by the account owner(s) or journal cash or assets among LPL accounts listed in section 4 held by the same owner(s).

This authorization and indemnity is in addition to (and in no way limits or restricts) and rights which you may have under any other agreement or agreements between the undersigned and LPL.

This authorization and indemnity is also a continuing one and shall remain in full force and effect until revoked by the undersigned by written notice addressed to you and delivered to your office, but such revocation shall not affect any liability in any way resulting from transactions initiated prior to such revocation. This authorization and indemnity shall ensure to the benefit of LPL and of any successor firm or firms irrespective of any change or changes at any time in the personnel thereof for any cause whatsoever, and of the assigns of your present firm or any successor firm. The undersigned acknowledge receiving a copy of this agreement.

I authorize LPL to contact my trusted contact person listed above. I understand that providing this information is optional and I may withdraw it at any time.

_____ Authorized Agent Signature	_____ Authorized Agent Name (print)	_____ Date
_____ Account Owner Signature	_____ Account Owner Name (print)	_____ Date
_____ Account Owner Signature	_____ Account Owner Name (print)	_____ Date
_____ Account Owner Signature	_____ Account Owner Name (print)	_____ Date
_____ Account Owner Signature	_____ Account Owner Name (print)	_____ Date



5. Authorization (continued)

Notary (all Account Owners' signatures need to be notarized)

Sworn to and subscribed before me this day: City State

Notary Public Signature (affix seal/stamp)

Sworn to and subscribed before me this day: City State

Notary Public Signature (affix seal/stamp)

Sworn to and subscribed before me this day: City State

Notary Public Signature (affix seal/stamp)

Sworn to and subscribed before me this day: City State

Notary Public Signature (affix seal/stamp)

