

Attestation to Authenticity of Client Instructions

Introducing Firm: _____

Account Number: _____

Account Title: _____

Disbursement Amount: _____

Reason for wire /
Relationship of wire recipient
to the Account Owner: _____

With my signature below, I represent that the following are true regarding these client instructions and the respective client Letter of Authorization (LOA):

- The client instructions as described in this LOA have been reviewed and approved by our firm’s approvers and are in full compliance with our firm’s policies and procedures and supervisory review process.
- Our firm has verbally confirmed with the account holder(s) or those authorized to act on their behalf that the LOA instructions are authentic and the signature(s) on the instructions are their own.
- Our firm understands that it is fully responsible for any loss caused by fraudulent disbursement instructions entered by our firm on the Asset Movement functionality within Pershing’s NetExchange® platforms and presented to Pershing for approval.

I warrant that I am either the Senior Compliance Officer or a Senior Officer of my firm authorized to act on its behalf.

Signature

Date

Name (please print)

Telephone Number

Title and Position (please print)