



**PRIVATE
CLIENT
SERVICES™**

MEMBER FINRA, SIPC
A Registered Investment Advisor

REPRESENTATIVE SPLIT CODE REQUEST

| Account Responsibilities: | Split Rep #1 Name: | Split Rep #2 Name: | Split Rep #3 Name: | Split Rep #4 Name: |
|--|--------------------------|--------------------------|--------------------------|--------------------------|
| | % | % | % | % |
| Client Relationship (Main contact) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Product Specialist | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Client Account Review Meetings | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Series 7 Transactions | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Series 6 Transactions | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Future Recommendations | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Portfolio/Investment Monitoring/Rebalancing | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Market updates / General Education | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Mentored (In training / Observe / Entry Level) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Administration Service Only | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Other: | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

For each representative listed on the split code, the responsibilities listed above are assumed to apply to all accounts associated to the split code. If any responsibilities differ for a specific account, the PCS Representative Split-Code Responsibilities Breakdown form must be submitted with account opening paperwork.

| | | | |
|---|--------------|---|--------------|
| <i>Split Representative #1 Signature:</i> | <i>Date:</i> | <i>Split Representative #2 Signature:</i> | <i>Date:</i> |
| <i>Split Representative #3 Signature:</i> | <i>Date:</i> | <i>Split Representative #4 Signature:</i> | <i>Date:</i> |

New Split Code: _____

Internal Use Only:

- | | | |
|--|-------------|-----------------|
| <input type="checkbox"/> NetX360 updated | Date: _____ | Initials: _____ |
| <input type="checkbox"/> Maestro updated | Date: _____ | Initials: _____ |