



**PRIVATE  
CLIENT  
SERVICES™**  
MEMBER FINRA, SIPC  
A Registered Investment Advisor

# REPRESENTATIVE SPLIT CODE RESPONSIBILITIES BREAKDOWN

Account Number: \_\_\_\_\_

Split Code: \_\_\_\_\_

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>