



All submissions will be reviewed and written notice of approval or denial will be supplied to you by the Compliance Department via e-mail. Each OBA must be submitted on a separate form.

Updated 09/03/2019

Representative Attestations

- Private Client Services' acknowledgment of your OBA is conditioned upon the requirement that you provide, upon request, complete copies of your financial statements and other information about this business during the course of any compliance audits or other Compliance department inquiry. Private Client Services does not render an opinion on the legality of any OBA.
- The undersigned registered person certifies that the foregoing is true and accurate and agrees to provide Private Client Services with complete copies of his or her financial statements and other information concerning this OBA promptly upon request.
- The undersigned registered person agrees to indemnify and hold Private Client Services, its officers, partners, employees, and associated persons harmless from and against any and all losses, liabilities, claims, damages, and expenses whatsoever (including reasonable attorney fees), arising out of any regulatory action, civil litigation, proceeding, or dispute of any kind relating in any way to the acts or omissions of the registered person while performing this OBA, without limitation as to amount or insurance coverage.
- The undersigned registered person agrees that he or she may not recommend, solicit, introduce, or in any way facilitate the investment of any individual or entity into this entity. This prohibition also applies to investments in any other business enterprise, common investment pool, or private securities transaction not pre-approved in writing by Private Client Services, including participating in discussions with potential investors.

Representative Signature:

Date:

Home Office Use:

Comments or Notes:

Select Approval: ☐ Approved ☐ Denied

Compliance Approval Signature:

Date: