



**PRIVATE
CLIENT
SERVICES™**

MEMBER FINRA, SIPC
A Registered Investment Advisor

Brokerage Account Addendum

This form is required when opening a new brokerage account or making updates to the money market sweep option. Ancillary account features such as ACH, Corestone, Margin, e-Delivery, NetXInvestor, and Trading Authorization require additional paperwork.

☐ New Account ☐ Update Account

Rep Name: _____

Rep Number: _____

Acct Number: _____

Brokerage Account Options

Tax Lot Disposition Method for Mutual Funds

- | | | | |
|--|---|--|--|
| ☐ Average Cost (using First In/First Out) | ☐ First In/First Out (Default) | ☐ High Cost | ☐ High Cost/Long Term |
| ☐ High Cost/Short Term | ☐ Last In/First Out | ☐ Low Cost/Long Term | |
| ☐ Minimize Short-Term Gains | ☐ Low Cost | ☐ Low Cost/Short Term | |

Tax Lot Disposition Method for All Other Securities

- | | | |
|---|--|--|
| ☐ First In/First Out (Default) | ☐ High Cost | ☐ High Cost/Long Term |
| ☐ High Cost/Short Term | ☐ Last In/First Out | ☐ Low Cost/Long Term |
| ☐ Minimize Short-Term Gains | ☐ Low Cost | ☐ Low Cost/Short Term |

Tax Lot Disposition Method for Stocks in Dividend Reinvestment Plans

- | | | | |
|--|---|--|--|
| ☐ Average Cost (using First In/First Out) | ☐ First In/First Out (Default) | ☐ High Cost | ☐ High Cost/Long Term |
| ☐ High Cost/Short Term | ☐ Last In/First Out | ☐ Low Cost/Long Term | |
| ☐ Minimize Short-Term Gains | ☐ Low Cost | ☐ Low Cost/Short Term | |

Bond Elections

If you do not choose Bond Elections, the noted IRS defaults will be selected. Contact your tax advisor for help making these elections.

Election 1: Bond Premium Amortization (tax-free bonds must be amortized)

- ☐ Yes/IRS Default: Amortize
☐ No/Alternative: Do not amortize

Election 2: Market Discount Accrual Method

- ☐ Ratable/Alternative
☐ Constant Yield/IRS Default

Election 3: Include Market Discount as Income

- ☐ No/IRS Default: Don't include market discount as income
☐ Yes/Alternative: Include market discount as income

Fee and Risk Disclosures

Has your registered representative explained and do you understand the following fees or risks that may apply to your investments:

- | | | | |
|------------------------------------|---|------------------------------|---|
| Administrative fees? | ☐ Yes ☐ N/A | Sales and set-up charges? | ☐ Yes ☐ N/A |
| Surrender and liquidation charges? | ☐ Yes ☐ N/A | Fluctuation of yield? | ☐ Yes ☐ N/A |
| Management fees? | ☐ Yes ☐ N/A | Fluctuation of share values? | ☐ Yes ☐ N/A |
| Transfer fees? | ☐ Yes ☐ N/A | IRA annual Fees? | ☐ Yes ☐ N/A |

Proceeds:

- ☐ Emit proceeds ☐
☐ Hold & sweep proceeds to money market (default ☐
Sweep Program*: _____

* Unless otherwise noted above, the Sweep Program utilized for your free credit balance will automatically default to FCR (Federated Cash Reserves) for non-advisory, non-qualified accounts and PPR (Pershing Prime Reserves) for non-advisory qualified accounts. For all Advisory Accounts, the default is Liquid Insured Deposits M (LIDM). For a list of additional available money market funds, please see RateBoard within NetX360.

Dividends/Interest:

- ☐ Hold (default)
☐ Remit
(Indicate Frequency/Method/Start Date)
Frequency: ☐ SM ☐ M ☐ BM
☐ Q ☐ SA ☐ A
Method: ☐ C ☐ C3* ☐ ACH*
Start Date (mm/dd/yyyy): _____

* additional paperwork is required for methods above and retirement accounts

Periodic Distribution:

- \$ Amount: _____
(Indicate Frequency/Method/Start Date)
Frequency: ☐ SM ☐ M ☐ BM
☐ Q ☐ SA ☐ A
Method: ☐ C ☐ C3* ☐ ACH*
Start Date (mm/dd/yyyy): _____

* additional paperwork is required for methods above and retirement accounts

Primary Account Owner Signature

Date

Joint Account Owner Signature

Date