



**PRIVATE  
CLIENT  
SERVICES™**

MEMBER FINRA, SIPC  
A Registered Investment Advisor

# INVESTMENT ACCOUNT DISCLOSURE

I understand that I, upon becoming an associated person of Private Client Services, must disclose all accounts in which securities transactions can be effected and in which you have a beneficial interest with the exception of any account in which transactions are limited to UITs, variable contracts and/or redeemable securities of open-end investment companies registered under the Investment Company Act of 1940, or which account is limited to transactions in such securities. For purposes of this rule, beneficial interest includes accounts held by a spouse, financially dependent child, or other related person whose account you have control over.

In addition, I am aware that I may not open a new investment account without making a written request and receiving written approval from Private Client Services. **In accordance with FINRA Rule 3210, I am disclosing the following (Select all that apply):**

- I do not have any investment accounts to disclose.
- I am the sole account holder of the investment account(s) listed below.
- I am a co-account holder of the investment account(s) listed below.
- Members of my immediate family have the following investment accounts or accounts in which I have a financial interest or exercise some sort of discretionary authority:

Account Title/Registration	Account Number	Broker/Dealer Name and Address

Representative Name:	Representative Signature:	Date:

**Home Office Use:**

Received, Logged, and 3210 letter(s) sent:

Surveillance Officer Name:	Signature:	Date: