

BNY Brokerage Services, P.O. Box 958408 Lake Mary, FL 32795

INVESTOR SERVICES FORM

Use this form to add services to your Brokerage Account. If you have any questions concerning this form, please call a BNY Brokerage Account Representative at 1-800-843-5466.

1. Customer Information

Corporations, Partnerships, Estates, Other Entities or Trust accounts must specify the Taxpayer Identification number of the legal entity or organization that will report income and/or gains resulting from investments. In addition, **joint accounts must also** specify the Social Security number of the second named owner in space provided.

Account Number

Registered Owner

Social Security Number/Tax Identification

Joint Owner

Social Security Number/Tax Identification

Address

2. Adding a Trusted Contact Person to an Account

The option to designate a Trusted Contact applies to any account that does not meet the definition of an "institutional account" in FINRA Rule 4512(c).

This section is optional. You will be able to open and maintain your account with us even if you do not identify a Trusted Contact Person.

Important: By choosing to provide information about a Trusted Contact Person, you authorize us to contact the Trusted Contact Person identified below and disclose information about your account to address possible financial exploitation, to confirm the specifics of your current contact information, health status, or the identity of any legal guardian, executor, trustee or holder of a power of attorney, or as otherwise permitted by FINRA Rule 2165.

Trusted Contact Person (must be age 18 or older)

*Is required information, **Only 1 field for either of the phone numbers or email is required

First Name*

Middle Name

Last Name*

Legal Address*

City*

State*

Zip Code*

Country*

Mailing Address (if different from the legal address)

City

State

Zip Code

Country

Work Phone**

Home Phone**

Mobile Phone**

Email Address**

Date of Birth

Relationship to Primary Applicant/Co-Applicant

3. Checkwriting

Checking account activity will appear on your account statement.

Additional costs may apply for check reorders.

To add Check Writing & Visa Debit Card will require a notary in Section 6.

To add the checkwriting privilege to your account, please check below:

☐ Regular Checking (40 initial checks, reorders are 100 checks – \$10 fee).

☐ Name Only on Checks

If you choose to have your name and address printed on your checks, you may have one additional line of information on your checks. Please include that information on the line below:

4. Visa® Gold Debit Card

The following account registrations are not eligible to receive a debit card: **IRAs, Custodial, Investment Club, Estate Account, Conservatorship, Guardianship, Testamentary Trust, Pension Trust.**

To add Check Writing & Visa Debit Card will require a notary in Section 6.

Cards are available for individual, joint, corporate, LLC's & Partnership registrations. Cards will be printed with the name as registered on the account. Individual accounts will receive one card. Joint accounts will receive two cards **no exceptions**. Cards **will not** be released unless mother's maiden name(s) or code word, as applicable, is (are) provided by Account holders. This information will be used to verify cardholders identity.

☐ Send me one card for Account holder

Mother's Maiden Name or for a Business Entity a code word.

☐ Send me a second card for joint Account holder

Mother's Maiden Name or for a Business Entity a code word.

5. Transfer/Telephone and Wire Redemption

No Notary is required when adding ACH/FED Wire if both accounts are identically registered individual accounts at BNY Brokerage Account and the banking institution. All other banking instruction additions will require a Notary in Section 6.

Please attach an original preprinted voided check to this application.

TeleTransfer/ACH. Permits the electronic transfer of money to or from your designated bank account free of charge. Your bank must be an ACH member.

Wire Redemption. Permits the transfer of money by Fed wire to your designated Federal Reserve Member Bank. See fee schedule for applicable fees.

☐ Yes, I want to have standing instructions added to my account for TeleTransfer/ACH and Wire Redemption privileges.

Checks that do not exactly match your account registration will need written approval from secondary checking account holder. See approval clause below: **Money will only be wired out or transferred to or from the bank account indicated on the voided check.**

Clause: I am aware that the person(s) named on this form will be using the attached voided check _____ to establish ACH privileges on their Brokerage Account.

DDA Number

Signature of Second Account holder on check

Standing Instructions for sending money by Fed Wire or ACH from your account expire 36 months from the last date they were used.

ATTACH VOIDED CHECK HERE

**6. Agreement and Certification
(Notary or Corporate Seal is required. Please see Section 6)**

To add the requested features to your BNY Brokerage Account, please read this section carefully and the following section to accept the terms. I authorize The Bank of New York Mellon to issue checks and PNC Bank N.A. to issue a Visa debit card(s) as indicated on this Investor Services Form. I certify that the information supplied on this Investor Services Form is complete and accurate.

Prior to signing below, I acknowledge that I have received and read and understood the BNY Brokerage Account Fee Schedule, the BNY Brokerage Account Client Agreement and Related Disclosure Booklet, and the Supplemental Services Agreement as currently in effect and as amended from time to time, which governs my BNY Brokerage Account and associated debit card, check writing and related services. By signing this Investor Services Form, I accept the terms of and agree to be bound by the terms and conditions of such BNY Brokerage Account Client Agreement and Related Disclosure Booklet, Supplemental Services Agreement and BNY Brokerage Account Fee Schedule. I further acknowledge that it is my responsibility to read the prospectus for any mutual fund recommended to me.

This agreement, with respect to all portions of the BNY Brokerage Account, including interest charges on loans Pershing may make to me, will be governed by, and interpreted under the laws of the State of New York. The terms of my agreement with PNC Bank, N.A. are governed by Pennsylvania Law. I am at least 18 years of age or of full legal age in the state in which I reside.

Registered Owner Signature

Date

Joint Owner Signature

Date

A notary will be required to add Check Writing and/or a Visa Debit Card.

FOR NOTARY PUBLIC USE ONLY:

Sworn to (or affirmed) before me this

_____ day of _____, 20____

(Give official capacity of official administering oath.)

My commission expires _____

(AFFIX SEAL.)

X _____
Signature of Notary Public

Please mail this completed form to:

BNY Brokerage Services

PO Box 958408

Lake Mary, FL 32795

For Registered, Certified or Overnight Mail, please mail to:

BNY Brokerage Services

600 Colonial Center Parkway

Suite 400

Lake Mary, FL 32746