

Client Support

If your investment advisor experiences a significant business interruption, Pershing Advisor Solutions may be contacted to process limited trade-related transactions, cash disbursements and security transfers. Instructions must be in writing and transmitted via facsimile or postal service to Pershing Advisor Solutions, as follows:

Pershing Advisor Solutions
P.O. Box 2065
Jersey City, NJ 07303-2065
Fax: (201) 413-4444

Please note that the above fax number is for business interruption-related issues only, and should not be used for any other purposes, such as change of address notices, account transfers and credit verification. Information received on this fax, unrelated to business interruption issues, will not be acted upon.

For additional information about how to request funds and securities when your investment advisor cannot be contacted due to a significant business interruption, refer to the instructions below or dial (877) 604-8967 for recorded instructions.

The specific transactions Pershing Advisor Solutions will perform for clients of our introducing registered investment advisors, and the required accompanying information, are as follows:

I. Trades

Pershing will process the following closing security transactions:

- Sales of security positions held long in the client's account
- Buys of security positions to close out short security positions

Pershing will process closing securities transactions upon receipt of signed, written instructions that must include all of the following information:

- Client account number
- Client name (as registered on the account)
- Security description, including symbol or CUSIP® number
- Number of shares

NOTE: All orders will be handled as market orders.

II. Cash Disbursements

Pershing will process first-party cash disbursements upon receipt of signed, written instructions that must include all of the following information:

- Client account number
- Client name (as registered on the account)
- Exact amount to be disbursed
- Indicate method of disbursement and provide the information indicated:
 - a) Checks: include name and address of record check is to be mailed to
 - b) Federal Funds: include receiving bank name, ABA number and receiving bank account number

NOTE: The receiving bank account name and investment account name must be identical unless we have a letter of authorization on file indicating alternate instructions.

III. Securities Transfers

Pershing will process security transfer requests upon receipt of signed, written instructions that must include all of the following information:

- Client account number
- Client name (as registered on the account)
- Description of security(ies) to be transferred, including symbol(s) or CUSIP number(s)
- Quantity to be transferred
 - a) Transfer to another account at Pershing
 - Provide receiving account number at Pershing (name and address on both accounts must be the same)
 - b) Transfer to another financial organization
 - Name of the receiving financial organization
 - DTC number (if the receiving financial organization is a registered broker-dealer)
 - Name of the receiving financial organization

Schedule of Maximum Charges

The schedule of maximum charges for services provided by Pershing Advisor Solutions is available [here](#). Your advisor may have negotiated lower rates on your behalf. Contact your advisor should you have any questions or would like more detail regarding the charges being applied to your account(s).

Terms and Conditions

Please refer to [this copy](#) or contact your advisor for more information.

March 2017