

Call Wealth Management Advisory and Service Center at 1.800.888.4700 for assistance completing this form.

Sec. 1

- Enter your name and social security number.
- If you are removing Trading Authorization from an individual already on the account, please make the appropriate selection. You may remove an individual from all accounts or specific accounts.
- Enter the account(s) to which you are adding trading authority. Check the type of authorization you are giving to your agent: **Limited** or **Full**. It is very important that you understand that Full Authorization grants the agent the right to remove money from your account. *Please read the descriptions in SEC. 3 and SEC. 4 before making your selection.*

Sec. 2

- Tell us about the person you are authorizing to place transactions in your account.
- You must complete ALL fields and answer all questions or the form cannot be processed..

Sec. 3, Sec. 4 and Sec. 5

- Review the type of authorization you are giving to your agent: Limited or Full.

Sec. 6

- **ONE** account owner must sign their name and date the form while the notary watches them sign the document. Have the notary stamp the form and complete and sign the notary text.
- * NOTE: All account owners and authorized agents must sign and date the form. If there are more than two owners: Photocopy this page of the form before completing it and cross off “#2” and replace it with “#3.” Do the same if you have four owners—cross off “#2” and replace it with “#4.”

Investment and insurance products and services including annuities are: NOT A DEPOSIT • NOT FDIC INSURED • MAY LOSE VALUE • NOT BANK GUARANTEED • NOT INSURED BY ANY FEDERAL GOVERNMENT AGENCY

Investment and insurance products and services including annuities are available through U.S. Bancorp Investments, the marketing name for U.S. Bancorp Investments, Inc., member FINRA and SIPC, an investment adviser and a brokerage subsidiary of U.S. Bancorp and affiliate of U.S. Bank.

Insurance products are available through various affiliated non-bank insurance agencies, which are U.S. Bancorp subsidiaries. Products may not be available in all states. CA Insurance License# 0E24641.

♦ If adding the Trading Agent(s) to a Trust, a new Trust Certification and Investment Powers form may be required. For further assistance regarding adding an agent to a Trust account, please contact your Financial Advisor or WMASC at 800-888-4700.

- ♦ Full Trading Agent may remove money and securities from the account(s).
- ♦ Limited Trading Agents may not remove money or securities from the account(s).

1 Account Information

Primary Account Owner	SSN/TIN
Representative Name	Rep ID
Add Trading Agent Below and Instructions for Existing Trading Agents <input type="checkbox"/> Keep existing Trading Agents intact (Default) <input type="checkbox"/> Remove existing Trading Agents from all accounts <input type="checkbox"/> Remove existing Trading Agents from only the following accounts: _____ _____	
Accounts to Which This Trading Authorization Applies. (ERISA covered plans may only have limited trading agents.) 1. _____ <input type="checkbox"/> Full <input type="checkbox"/> Limited 3. _____ <input type="checkbox"/> Full <input type="checkbox"/> Limited 5. _____ <input type="checkbox"/> Full <input type="checkbox"/> Limited 2. _____ <input type="checkbox"/> Full <input type="checkbox"/> Limited 4. _____ <input type="checkbox"/> Full <input type="checkbox"/> Limited 6. _____ <input type="checkbox"/> Full <input type="checkbox"/> Limited	

2 Trading Agent

Name of Trading Agent		Trading Agent SSN	Trading Agent Date of Birth
Street Address of Trading Agent		City	State
Trading Agent Phone Number		Picture Identification <input type="checkbox"/> U.S. Driver's license (State: _____) <input type="checkbox"/> U.S. Military Service ID <input type="checkbox"/> U.S. State ID (State: _____) <input type="checkbox"/> U.S. Resident Alien/Immigration ID <input type="checkbox"/> Passport (Country: _____) Number on ID: _____ Expiration Date (mm/dd/yyyy): _____	
Trading Agent Citizenship <input type="checkbox"/> U.S. citizen <input type="checkbox"/> Resident alien <input type="checkbox"/> Nonresident alien			
Trading Agent Are you or an immediate family member: <input type="checkbox"/> Yes <input type="checkbox"/> No 1. A director, 10% shareholder or policy making officer of any publicly traded company? If yes: Symbol _____ <input type="checkbox"/> Yes <input type="checkbox"/> No 2. Employed by FINRA, NYSE, a broker/dealer, investment advisor or other securities firm? <input type="checkbox"/> Yes <input type="checkbox"/> No 3. A senior officer of a bank, savings and loan, insurance company, registered investment advisory firm, registered investment company or a person who could influence the trading of investments in an institutional type account? If yes to any: Name of Person: _____ Relationship of this person to you: _____ Name of Firm/Employer: _____ Address of Firm/Employer: _____			

Investment and insurance products and services including annuities are: NOT A DEPOSIT • NOT FDIC INSURED • MAY LOSE VALUE • NOT BANK GUARANTEED • NOT INSURED BY ANY FEDERAL GOVERNMENT AGENCY

Investment and insurance products and services including annuities are available through U.S. Bancorp Investments, the marketing name for U.S. Bancorp Investments, Inc., member FINRA and SIPC, an investment adviser and a brokerage subsidiary of U.S. Bancorp and affiliate of U.S. Bank.

Insurance products are available through various affiliated non-bank insurance agencies, which are U.S. Bancorp subsidiaries. Products may not be available in all states. CA Insurance License# 0E24641.

3 If Full Trading Authority is Selected for the Account Listed in Section 1

I hereby authorize U.S. Bancorp Investments, Inc. to follow the instructions of the Agent in every respect concerning my account with U.S. Bancorp Investments and make deliveries of securities and payment of monies to the Agent or as the Agent may order and direct.

- I hereby authorize the Agent to buy, sell (including short sales) and trade stocks, bonds, options contracts and any other securities on margin or otherwise in accordance with U.S. Bancorp Investments' terms and conditions for my account and in my name on U.S. Bancorp Investments' books.
- I specifically authorize the Agent to make transactions which would result in uncovered short positions in options contracts or in the uncovering of any existing short position in options contracts.
- I authorize U.S. Bancorp Investments to follow the instruction of the Agent in all such purchases, sales or trades concerning my account with U.S. Bancorp Investments, as well as all other things necessary or incidental to said transactions.

- I hereby ratify and confirm all transactions with U.S. Bancorp Investments heretofore or hereafter made by the Agent for my account.
- I agree to indemnify and hold U.S. Bancorp Investments harmless from any losses arising from such transactions and to pay U.S. Bancorp Investments promptly on demand for any debit balance due from such transactions.
- This authorization indemnity is in addition to, and in no way limits or restricts, any rights which U.S. Bancorp Investments may have under any other agreement between me and U.S. Bancorp Investments. It is a continuing one and shall remain in full force and effect until I or my conservator delivers revocation in writing to U.S. Bancorp Investments or notification of my death. Such revocation or notification of my death shall not affect any liability resulting from transactions initiated prior to U.S. Bancorp Investments' receipt of said revocation or notification of my death.

4 If Limited Trading Authority is Selected for the Account Listed in Section 1

I hereby authorize the Trading Agent to buy, sell (including short sales) and trade stocks, bonds, options contracts and any other securities on margin or otherwise in accordance with U.S. Bancorp Investments Inc.'s terms and conditions for my Account and in my name on U.S. Bancorp Investments' books.

- If allowed under the terms and conditions for my Account, I specifically authorize the Trading Agent to make transactions which would result in uncovered short positions in options contracts or in the uncovering of any existing short position in options contracts.
- I authorize U.S. Bancorp Investments to follow the instruction of the Trading Agent in all such purchases, sales or trades concerning my Account with U.S. Bancorp Investments, as well as all other things necessary or incidental to said transactions.
- I hereby ratify and confirm all transactions with U.S. Bancorp Investments heretofore or hereafter made by the Trading Agent for my Account.
- I agree to indemnify and hold U.S. Bancorp Investments (and its affiliates, and their respective directors, officers, employees, agents, successors and assigns) (collectively, the "Indemnitees") harmless from and against any and all liability, losses, damages, penalties,

judgments, suits, claims, costs and expenses of any kind arising from U.S. Bancorp Investments' reliance on this authorization or from any transactions made at the direction of the Trading Agent and I agree to pay U.S. Bancorp Investments promptly on demand for any debit balance due from such transactions except those caused directly by the gross negligence or willful misconduct of any such Indemnitee. This authorization indemnity is in addition to, and in no way limits or restricts, any rights which U.S. Bancorp Investments may have under any other agreement between me and U.S. Bancorp Investments. It is a continuing one and shall remain in full force and effect until I or my conservator delivers revocation in writing to U.S. Bancorp Investments or notification of my death. Such revocation or notification of my death shall not affect any liability resulting from transactions initiated prior to U.S. Bancorp Investments' receipt of said revocation or notification of my death.

- Notwithstanding anything in this authorization to the contrary, to the extent that the Account relates to a retirement plan or an individual retirement account, I certify that the retirement plan or individual retirement account allows this delegation and that this authorization complies with the terms of the retirement plan or individual retirement account documents.

5 Agent Acknowledgment for Limited Authority Only

• As Trading Agent, I understand that my trading authority is limited by the applicable terms and conditions for the Account notwithstanding anything in this authorization to the contrary.

• As Trading Agent, to the extent that the Account is subject to the Employee Retirement Income Security Act of 1974 ("ERISA") or Section 4975 of the Internal Revenue Code, I acknowledge that I am a fiduciary to the Account.

Primary Account Owner: _____

SSN/TIN: _____ Account #: _____

6 Signature and Notarization

Signatures are required for all Account Owners and Trading Agent. Notarization is only required for one Account Owner. If in California, may submit jurat or acknowledgment in lieu of notary stamp on this page.

Printed Name of Account Owner	
Signature of Account Owner	Date
Notary: Subscribed and sworn to before me this _____ day of _____, 20____	
Signature of Notary	
My commission expires _____ Date	

Printed Name of Additional Account Owner, if any	
Signature of Additional Account Owner, if any	Date
Notary: Subscribed and sworn to before me this _____ day of _____, 20____	
Signature of Notary	
My commission expires _____ Date	

Printed Name of Authorized Trading Agent	
Signature of Authorized Trading Agent	Date

Instruction for U.S. Bancorp Investment Representative Only
Submit via workflow, provide a copy to client. Original to branch file.