



Trusted Contact Information and Disclosure Form

Account holder(s) information

Name: _____

Address: _____

Phone: _____

Email: _____

Name of, and contact information for, a Trusted Contact (must be age 18 or older) for above account holder(s).

Name: _____

Address: _____

Phone: _____

Email: _____

The absence of the name of, or contact information for, a trusted contact person shall not prevent a member from opening or maintaining an account for a customer, provided that the member makes a reasonable effort to obtain the name of and contact information for a trusted contact person as stated in Rule 4512.

_____ I do not wish to provide contact information for a trusted contact on my account(s).

Customer Signature

Date

Customer Signature

Date



Disclosure

Please be advised the firm or an associated person is authorized to contact the trusted contact person provided by you and disclose information about the customer's account to address possible financial exploitation, to confirm the specifics of the customer's current contact information, health status, or the identity of any legal guardian, executor, trustee or holder of a power of attorney in accordance with Rule 2165.

If the firm believes that financial exploitation has occurred, is occurring, has been attempted, or will be attempted a temporary hold will be placed on the disbursement of funds or securities from the account. A temporary hold may be placed on a particular suspicious disbursement(s), but not on other, non-suspicious disbursements. Rule 2165 does not apply to transactions in securities.

If the firm places a temporary hold, Rule 2165 requires that the firm immediately initiate an internal review of the facts and circumstance. The rule requires the firm to provide notification of the hold and the reason for the hold to the trusted contact person and all parties authorized to transact business on the account(s). The temporary hold authorization would expire not later than 15 days after the date that the member first placed it, unless otherwise terminated or extended. The rule permits the firm to extend the temporary hold for an additional 10 business days.