

New Joint Rep Code Assignment Request Updating Existing Joint Rep Code: _____

All Registered Representatives under the same joint rep code should: (i) be supervised by the same OSJ Supervisor; and (ii) have all of their business conducted under the same branch code. (Please select only ONE category per Rep. All RRs on the joint rep code must complete.)

I am a Primary Registered Representative with respect to the accounts under the assigned joint rep code. As the Primary Registered Representative, I am responsible for all activities related to the client accounts including suitability of securities recommendations. I am also responsible for; (i) maintaining the account information current at all times and regular contact with the clients; and (ii) actions or activities conducted or affected by other Registered Representative(s) under the joint rep code for the accounts. With my signature below, I acknowledge that due to the fact that I am named as the Primary Registered Representative for the joint rep code, I may be subject to complaint or regulatory findings even if I am not personally named in such claim or allegation.

_____ 1st Primary Registered Representative's Name	_____ Signature	_____ Date	_____ Comm.%
_____ 2nd Primary Registered Representative's Name	_____ Signature	_____ Date	_____ Comm.%

I am a Secondary Registered Representative with respect to the accounts under the assigned joint rep code. As the Secondary Registered Representative, my responsibilities include, but not limited to: (i) participation of securities transactions on an unsolicited basis for the period of the Primary Registered Representative's absence; (ii) recommendations of securities transactions based on the Primary Registered Representative's instruction; and (iii) contacting the clients per the Primary Registered Representative's instruction. With my signature below, I acknowledge that being named as the Secondary Registered Representative for the joint rep code will not relieve me from any liabilities or responsibilities which may result from any complaint or regulatory and internal findings.

_____ 1st Primary Registered Representative's Name	_____ Signature	_____ Date	_____ Comm.%
_____ 2nd Primary Registered Representative's Name	_____ Signature	_____ Date	_____ Comm.%

Other Registered Representative(s): List all Other Registered Representatives who are neither the Primary Registered Representative nor the Secondary Registered Representative for the accounts under the assigned joint rep code. Also explain the scope of their responsibilities with respect to the accounts under the assigned joint rep code. With my signature below, I acknowledge that being named as the Other Registered Representative for the joint rep code will not relieve me from any liabilities or responsibilities which may result from any complaint or regulatory and internal findings.

Scope of Responsibilities (i.e., product due diligence, security research, administrative functions, etc):

See attached and signed sheet

_____ Other Registered Representative's Name	_____ Signature	_____ Date
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Scope of Responsibilities (i.e., product due diligence, security research, administrative functions, etc):

See attached and signed sheet

_____ Other Registered Representative's Name	_____ Signature	_____ Date
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_____ OSJ Supervisor's Name	_____ OSJ Supervisor's Signature	_____ Date
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Compliance Approval

Approved Rejected

Date: _____ / By (name and signature): _____

Operations Department

Rep Code: _____ / Books and Records System Updated Date and By: _____