



OUTSIDE ACCOUNT: REQUEST FOR APPROVAL

NOTE: This form is to be completed by employees to request approval to maintain accounts *BEFORE* opening accounts at other securities firms. The requirement for approval includes any account where the employee has a beneficial interest or control over the account. Submit this form to your supervisor. Approval or disapproval will be forwarded by Compliance.

1. Name of employee:	
2. Department/office:	
3. Name and address of firm where account will be maintained:	
4. Name/title of account:	
5. Reason for requesting that an account be maintained at another firm:	
6. Employee signature:	Date:
7. Supervisor name/title (printed):	
8. Supervisor's signature:	Date:
9. Compliance use only:	
Reviewer's name/title (printed):	
_____ Approved _____ Disapproved	
Compliance signature:	Date:
____ Notified supervisor and requesting employee ____ Letter to other firm (date sent: _____) ____ Requested duplicate confirmations and statements	