

Account # \_\_\_\_\_

Advisor Code \_\_\_\_\_

Case # \_\_\_\_\_

1

## ACCOUNT INFORMATION

Account Registration: \_\_\_\_\_

Social Security Number: \_\_\_\_\_

2

## ADVISOR AUTHORIZATIONS

I hereby authorize:

Firm Name: \_\_\_\_\_

Primary Contact: \_\_\_\_\_

☐ Check here and complete this section if you are removing an existing Advisor from your Account.

☐ Check here and complete this section if you are adding an Advisor and transferring your TD Ameritrade Retail Self-Directed Brokerage Account to TD Ameritrade Institutional. By completing this section, you are certifying there are no checks written against your TD Ameritrade Retail brokerage account.

Prior IA

Firm Name: \_\_\_\_\_

TD Ameritrade Retail Brokerage Account Number: \_\_\_\_\_

### Limited Disbursement and Journal Authorization

By my signature below on this application, I hereby authorize TD Ameritrade to: disburse assets to me at my address of record at the direction of my Advisor and; journal assets between my TD Ameritrade accounts of identical registration at the direction of my Advisor as provided in the TD Ameritrade Institutional Client Agreement.

Please initial further authorizations below as applicable.

### Directed Trading Authorization

I authorize TD Ameritrade to execute trades in my Account at the direction of my Advisor as provided in the TD Ameritrade Institutional Client Agreement.

Account Owner Initials: AW Account Co-Owner Initials: \_\_\_\_\_

### Fee Deduction and Payment Authorization

I authorize TD Ameritrade to pay investment advisory fees and related fees (collectively, "Advisory Fees") to my Advisor from my Account(s) in the amounts instructed by my Advisor as provided in the TD Ameritrade Institutional Client Agreement.

Account Owner Initials: AW Account Co-Owner Initials: \_\_\_\_\_

These choices can be modified or revoked at any time by notice to TD Ameritrade Institutional at PO BOX 650567, Dallas, TX 75265-0567 or 800-431-3500.

X Signature of Account Owner: Alan C Wages Date: \_\_\_\_\_

Account Owner Name (printed): \_\_\_\_\_

X Signature of Additional Account Owner: \_\_\_\_\_ Date: \_\_\_\_\_

Additional Account Owner Name (printed): \_\_\_\_\_

Mailing Address:  
**TD Ameritrade Institutional**  
 PO BOX 650567  
 Dallas, TX 75265-0567

TDAI 9002 REV. 02/18

Investment Products: Not FDIC Insured \* No Bank Guarantee \* May Lose Value

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