

## NON-QUALIFIED ACCOUNT APPLICATION INSTRUCTIONS



By clicking your [account type below](#), you will be taken to the necessary instructions to complete the application based on your account type.

**Purpose of this form.** By completing and signing this application the account owner is establishing an account subject to the terms and conditions outlined at [www.etrade.com/advisorservices/advisorforms](http://www.etrade.com/advisorservices/advisorforms). This form is required to open a managed account through your designated investment advisor, with E\*TRADE Advisor Services providing custodial services to you and your investment advisor.

**Where to get additional forms.** If additional E\*TRADE Advisor Services forms are needed, you may either ask your investment advisor or client representative for a copy of the form or download the form online at [www.etrade.com/advisorservices/advisorforms](http://www.etrade.com/advisorservices/advisorforms).

You must **complete all required fields and provide all required additional forms and documentation** to expedite processing and to avoid requests for additional information. The only exceptions are if a section or entry is listed as 'optional' or 'if applicable'. 'Optional' indicates the section or entry is an elective and nonobligatory service or feature. By entering information in an optional section or entry, you are choosing to participate in the service or feature. 'If applicable' indicates the section or entry is required if certain conditions apply. These conditions are outlined in detail in these instructions.

**Print or type all entries.** Print clearly in all CAPITAL LETTERS to complete this application. To type entries, a fillable PDF of this form can be found online at [www.etrade.com/advisorservices/advisorforms](http://www.etrade.com/advisorservices/advisorforms).

**Unknown information.** If information is requested and you do not know where to obtain the requested information, contact your investment advisor or client representative for direction.

**Important New Account Information** To help the government fight the funding of terrorism and money-laundering activities, federal law requires E\*TRADE Advisor Services to verify your identity by obtaining your name, date of birth, address, and a government-issued identification number before opening your account. In certain circumstances, E\*TRADE Advisor Services requires this information for any person(s) authorized to effect transactions in an account. For certain entities, such as trusts, estates, corporations, partnerships, or other organizations, identification documentation is not required. However, E\*TRADE Advisor Services reserves the right to request identifying documentation in certain circumstances. Your account may be restricted and/or closed if E\*TRADE Advisor Services cannot verify this information. E\*TRADE Advisor Services will not be responsible for any losses or damages (including but not limited to lost opportunities) resulting from any failure to provide this information or from any restriction placed upon, or close of, your account.

You must complete all required fields and provide all required forms and documentation to expedite processing and to avoid unnecessary requests for additional information.

*Note: E\*TRADE Advisor Services reserves the right to request additional information as required to carry out any instructions including but not limited to transfer or liquidation of securities owned by the account.*

### Client account types

**Click the account type you wish to open and it will send you to the appropriate instructions.**

- [□ Individual](#)
- [□ Joint \(With Rights of Survivorship \(WROS\)\)](#)
- [□ Joint \(Tenants in Common\)](#)
- [□ Joint \(Tenants by the Entirety\)](#)
- [□ Joint \(Community Property\)](#)
- [□ Joint \(Community Property WROS\)](#)
- [□ Custodial \(UTMA/UGMA\)](#)

## Individual

**Individual Account** is an account where there is one beneficial owner.

### Section 1: Client Account Type, *check only one*

Check the appropriate box to indicate the type of account you want to create with this application.

Select "Individual" in section 1.

### Section 2: Primary Account Owner Information

#### A. Account Owner

Enter the account owner information for this account including but not limited to name, address, Social Security number, date of birth, contact information and specific occupation.

#### B. Mailing Address (PO BOX allowed)

You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box, mailbox drop add nonresidential address provided in this section, then Section 2C must be completed to provide the residential address for mail.*

#### C. Residential Address (PO BOX NOT allowed)

This should only be completed if a PO Box or mailbox drop is provided in Section 2B.

#### D. Citizenship status

Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

#### E. Source of funds

Select only one box.

#### F. Purpose and expected use of the account

Select only one box.

### Section 3: Additional Account Owner Information

*Skip this section; it does not apply for this account type.*

### Section 4: Transfer on Death (TOD) Designation, if applicable

### Section 5: Account Management

#### A. Client Representative

Enter the information for the client representative that is associated with or referring you to the Investment Advisor that will be managing your account.

#### B. Investment Advisor Information

Enter the name of the investment advisor or money manager firm managing your account. *Note: As the account owner, you are granting the exclusive authority to your investment advisor or money manager firm to direct the investment activities of this account.*

### Section 6: Email and Electronic Delivery

#### A. Email Address

**Please type or print legibly.** One valid email address is requested for each account and will be used for e-delivery of statements and other account documents if elected.

#### B. Electronic Delivery (e-delivery)

To Opt-in to e-delivery of statements and other account documents, please log in to [www.etrade.com/liberty](http://www.etrade.com/liberty). Go to: About your Account – then Document Delivery. Please contact your advisor for any questions you may have.

**Important:** If you would like to consolidate your statements for accounts managed by a single investment advisor, please complete the separate Statement Family Request form.

### Section 7: Authorized Signatures

It is important for you to read and understand the terms and conditions covering this application before you sign. Please print and keep a copy for your records of the terms and conditions which are made available by your advisor and at: [www.etrade.com/advisor/services/advisorforms](http://www.etrade.com/advisor/services/advisorforms).

**Sign and date.** Read over the signature section carefully, then sign and date the application.

### Interested Third Party(ies)

If you would like to designate interested third parties to receive copies of your statements, deposit confirmations, or tax forms, then complete, sign, and provide an "Additional Information Application Addendum" form.

Examples of interested third parties are tax accountants, attorneys, and other types of personal representatives. *Note: An interested third party is not your investment advisor or your client representative.*

## Joint (with rights of survivorship (WROS))

**Joint Tenants with Rights of Survivorship Account** is an account where there is more than one account owner and each owner has an equal and undivided interest in the account. Upon the death of an account owner, account ownership passes to the other owner(s).

### Section 1: Client Account Type, *check only one*

Check the appropriate box to indicate the type of account you want to create with this application.

Select "Joint (With Rights of Survivorship (WROS))" in section 1.

### Section 2: Primary Account Owner Information

#### A. Account Owner

Enter the account owner information for this account including but not limited to name, address, Social Security number, date of birth, contact information and specific occupation.

**Primary account owner:** The individual whose Social Security number is on the account for tax reporting.

#### B. Mailing Address (PO BOX allowed)

You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop add non-residential address provided in this section, then Section 2C must be completed to provide the residential address for mail.*

#### C. Residential Address (PO BOX NOT allowed)

This should only be completed if a PO Box or mailbox drop is provided in Section 2B.

#### D. Citizenship status

Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

#### E. Source of funds

Select only one box.

#### F. Purpose and expected use of the account

Select only one box.

### Section 3: Additional Account Owner Information

#### A. Account Owner

Check the box labeled "Additional Owner" in Section 3, and provide the person's name, contact information and specific occupation.

#### B. Mailing Address (PO BOX allowed)

You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop add nonresidential address provided in this section, then Section 3C must be completed to provide the residential address for mail.*

#### C. Residential Address (PO BOX NOT allowed)

This should only be completed if a PO Box or mailbox drop is provided in Section 3B.

#### D. Citizenship status

Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

*Note: For the joint owner to receive copies of statements, deposit confirmations, or tax forms, complete the Additional Information Application Addendum.*

### Section 4: Transfer on Death (TOD) Designation, if applicable

### Section 5: Account Management

#### A. Client Representative

Enter the information for the client representative that is associated with or referring you to the Investment Advisor that will be managing your account.

#### B. Investment Advisor Information

Enter the name of the investment advisor or money manager firm managing your account. *Note: As the account owner, you are granting the exclusive authority to your investment advisor or money manager firm to direct the investment activities of this account.*

### Section 6: Email and Electronic Delivery

#### A. Email Address

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**Sign and date.** Read over the signature section carefully, then all account owners should sign and date the application.

### Interested Third Party(ies)

If you would like to designate interested third parties receive copies of your statements, deposit confirmations, or tax forms, then complete, sign, and provide an "Additional Information Application Addendum" form.

Examples of interested third parties are tax accountants, attorneys, and other types of personal representatives. *Note: An interested third party is not your investment advisor or your client representative.*

## Joint (tenants in common)

**Joint Tenants in Common Account** is an account where there is more than one account owner and each owner has a specified percentage interest in the account. Upon the death of an owner, the deceased owner's percentage interest is retained by the deceased owner's heirs and is not passed to the surviving owner(s).

### Section 1: Client Account Type, check only one

Check the appropriate box to indicate the type of account you want to create with this application.

Select "Joint (Tenants in Common)" in section 1.

### Section 2: Primary Account Owner Information

#### A. Account Owner

Enter the account owner information for this account including but not limited to name, address, Social Security number, date of birth, contact information and specific occupation.

**Primary account owner:** The individual whose Social Security number is on the account for tax reporting.

#### B. Mailing Address (PO BOX allowed)

You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop nonresidential address is provided in this section, then Section 2C must be completed to provide the residential address for mail.*

#### C. Residential Address (PO BOX NOT allowed)

This should only be completed if a PO Box or mailbox drop is provided in Section 2B.

#### D. Citizenship status

Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

#### E. Source of funds

Select only one box.

#### F. Purpose and expected use of the account

Select only one box.

### Section 3: Additional Account Owner Information

#### A. Account Owner

Check the box labeled "Additional Owner" in Section 3 and provide the person's name, contact information and specific occupation.

#### B. Mailing Address (PO BOX allowed)

You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop nonresidential address is provided in this section, then Section 3C must be completed to provide the residential address for mail.*

#### C. Residential Address (PO BOX NOT allowed)

This should only be completed if a PO Box or mailbox drop is provided in Section 3B.

#### D. Citizenship status

Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

**IMPORTANT:** To designate additional account owners, complete the *Additional Information Application Addendum*.

*Note: For the joint owner to receive copies of statements, deposit confirmations, or tax forms, complete the Additional Information Application Addendum. (See Interested Third Party section below)*

**Section 4: Transfer on Death (TOD) Designation, if applicable**

*Skip this section; it is not applicable for this account type.*

### Section 5: Account Management

#### A. Client Representative

Enter the information for the client representative that is associated with or referring you to the Investment Advisor that will be managing your account.

#### B. Investment Advisor Information

Enter the name of the investment advisor or money manager firm managing your account. *Note: As the account owner, you are granting the exclusive authority to your investment advisor or money manager firm to direct the investment activities of this account.*

### Section 6: Email and Electronic Delivery

#### A. Email Address

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### Interested Third Party(ies)

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Examples of interested third parties are tax accountants, attorneys, and other types of personal representatives. *Note: An interested third party is not your investment advisor or your client representative.*

## Joint (tenants by the entirety)

**Joint Tenants by the Entirety Account** is an account for married couples that live in a state where a Joint Tenants by the Entirety designation is available.

### Section 1: Client Account Type, *check only one*

Check the appropriate box to indicate the type of account you want to create with this application.

Select "Joint (Tenants by Entirety)" in section 1.

### Section 2: Primary Account Owner Information

#### A. Account Owner

Enter the account owner information for this account including but not limited to name, address, Social Security number, date of birth, contact information and specific occupation.

**Primary account owner:** The individual whose Social Security number is on the account for tax reporting.

#### B. Mailing Address (PO BOX allowed)

You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop add nonresidential address is provided in this section, then Section 2C must be completed to provide the residential address for mail.*

#### C. Residential Address (PO BOX NOT allowed)

This should only be completed if a PO Box or mailbox drop is provided in Section 2B.

#### D. Citizenship status

Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

#### E. Source of funds

Select only one box.

#### F. Purpose and expected use of the account

Select only one box.

### Section 3: Additional Account Owner Information

#### A. Account Owner

Check the box labeled "Additional Owner" in Section 3 and provide the person's name, contact information and specific occupation.

#### B. Mailing Address (PO BOX allowed)

You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop add nonresidential address is provided in this section, then Section 3C must be completed to provide the residential address for mail.*

#### C. Residential Address (PO BOX NOT allowed)

This should only be completed if a PO Box or mailbox drop is provided in Section 3B.

#### D. Citizenship status

Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

*Note: For the joint owner to receive copies of statements, deposit confirmations, or tax forms, complete the Additional Information Application Addendum.*

**Section 4: Transfer on Death (TOD) Designation, if applicable**

### Section 5: Account Management

#### A. Client Representative

Enter the information for the client representative that is associated with or referring you to the Investment Advisor that will be managing your account.

#### B. Investment Advisor Information

Enter the name of the investment advisor or money manager firm managing your account. *Note: As the account owner, you are granting the exclusive authority to your investment advisor or money manager firm to direct the investment activities of this account.*

### Section 6: Email and Electronic Delivery

#### A. Email Address

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**Sign and date.** Read over the signature section carefully, then both account owners must sign and date the application.

### Interested Third Party(ies)

If you would like to designate interested third parties receive copies of your statements, deposit confirmations, or tax forms, then complete, sign, and provide an "Additional Information Application Addendum" form.

Examples of interested third parties are tax accountants, attorneys, and other types of personal representatives. *Note: An interested third party is not your investment advisor or your client representative.*



## Joint (community property)

**Joint Community Property Account** is an account for married couples currently living in a community property state (or whoever lived in a community property state while they were married) where owners have equal rights to the assets. Upon divorce or death, half the account belongs to each spouse (similar to Joint Tenants in Common).

### Section 1: Client Account Type, *check only one*

Check the appropriate box to indicate the type of account you want to create with this application.

Select "Joint (Community Property)" in section 1.

### Section 2: Primary Account Owner Information

#### A. Account Owner

Enter the account owner information for this account including but not limited to name, address, Social Security number, date of birth, contact information and specific occupation.

**Primary account owner:** The individual whose Social Security number is on the account for tax reporting.

#### B. Mailing Address (PO BOX allowed)

You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop add nonresidential address is provided in this section, then Section 2C must be completed to provide the residential address for mail.*

#### C. Residential Address (PO BOX NOT allowed)

This should only be completed if a PO Box or mailbox drop is provided in Section 2B.

#### D. Citizenship status

Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

#### E. Source of funds

Select only one box.

#### F. Purpose and expected use of the account

Select only one box.

### Section 3: Additional Account Owner Information

#### A. Account Owner

Check the box labeled "Additional Owner" in Section 3 and provide the person's name, contact information and specific occupation.

#### B. Mailing Address (PO BOX allowed)

You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop add nonresidential address is provided in this section, then Section 3C must be completed to provide the residential address for mail.*

#### C. Residential Address (PO BOX NOT allowed)

This should only be completed if a PO Box or mailbox drop is provided in Section 3B.

#### D. Citizenship status

Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

*Note: For the joint owner to receive copies of statements, deposit confirmations, or tax forms, complete the Additional Information Application Addendum.*

### Section 4: Transfer on Death (TOD) Designation, if applicable

*Skip this section, it is not applicable for this account type.*

### Section 5: Account Management

#### A. Client Representative

Enter the information for the client representative that is associated with or referring you to the Investment Advisor that will be managing your account.

#### B. Investment Advisor Information

Enter the name of the investment advisor or money manager firm managing your account. *Note: As the account owner, you are granting the exclusive authority to your investment advisor or money manager firm to direct the investment activities of this account.*

### Section 6: Email and Electronic Delivery

#### A. Email Address

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### Interested Third Party(ies)

If you would like to designate interested third parties receive copies of your statements, deposit confirmations, or tax forms, then complete, sign, and provide an "Additional Information Application Addendum" form.

Examples of interested third parties are tax accountants, attorneys, and other types of personal representatives. *Note: An interested third party is not your investment advisor or your client representative.*

## Joint (community property WROS)

**Joint Community Property WROS Account** is an account for married couples currently living in a community property state (or whoever lived in a community property state while they were married) where and each owner has an equal and undivided interest in the account and upon the death of one account owner, account ownership passes to the other owner.

### Section 1: Client Account Type, *check only one*

Check the appropriate box to indicate the type of account you want to create with this application.

Select "Joint (Community Property WROS)" in section 1.

### Section 2: Primary Account Owner Information

#### A. Account Owner

Enter the account owner information for this account including but not limited to name, address, Social Security number, date of birth, contact information and specific occupation.

**Primary account owner:** The individual whose Social Security number is on the account for tax reporting.

#### B. Mailing Address (PO BOX allowed)

You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop add nonresidential address is provided in this section, then Section 2C must be completed to provide the residential address for mail.*

#### C. Residential Address (PO BOX NOT allowed)

This should only be completed if a PO Box or mailbox drop is provided in Section 2B.

#### D. Citizenship status

Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

#### E. Source of funds

Select only one box.

#### F. Purpose and expected use of the account

Select only one box.

### Section 3: Additional Account Owner Information

#### A. Account Owner

Check the box labeled "Additional Owner" in Section 3 and provide the person's name, contact information and specific occupation.

#### B. Mailing Address (PO BOX allowed)

You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop add nonresidential address is provided in this section, then Section 3C must be completed to provide the residential address for mail.*

#### C. Residential Address (PO BOX NOT allowed)

This should only be completed if a PO Box or mailbox drop is provided in Section 3B.

#### D. Citizenship status

Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

*Note: For the joint owner to receive copies of statements, deposit confirmations, or tax forms, complete the Additional Information Application Addendum.*

### Section 4: Transfer on Death (TOD) Designation, if applicable

### Section 5: Account Management

#### A. Client Representative

Enter the information for the client representative that is associated with or referring you to the Investment Advisor that will be managing your account.

#### B. Investment Advisor Information

Enter the name of the investment advisor or money manager firm managing your account. *Note: As the account owner, you are granting the exclusive authority to your investment advisor or money manager firm to direct the investment activities of this account.*

### Section 6: Email and Electronic Delivery

#### A. Email Address

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If you would like to designate interested third parties receive copies of your statements, deposit confirmations, or tax forms, then complete, sign, and provide an "Additional Information Application Addendum" form.

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## Custodial (UTMA/UGMA)

**Custodial (UTMA/UGMA)** Uniform Transfer to Minors Act (UTMA)/Uniform Gift to Minors Act (UGMA) account is an account that holds amounts owned by a minor in the minor's name without having to establish a trust or name a legal guardian. E\*TRADE Advisor Services no longer opens new UGMA accounts; however, accounts that are UGMA at other custodians can be transferred as UGMAs at E\*TRADE Advisor Services.

### Section 1: Client Account Type, check only one

Check the appropriate box to indicate the type of account you want to create with this application.

Select "Custodial UTMA/UGMA" in section 1.

### Section 2: Primary Account Owner Information

*Note: Unless notified in writing, the minor's state of residence in Section 2 will be used.*

#### A. Account Owner – For UTMA/UGMA the minor is the primary owner

Enter the account owner information for this account including but not limited to name, address, Social Security number, date of birth, contact information and specific occupation.

#### B. Mailing Address (PO BOX allowed)

You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop add nonresidential address is provided in this section, then Section 2C must be completed to provide the residential address for mail.*

#### C. Residential Address (PO BOX NOT allowed)

This should only be completed if a PO Box or mailbox drop is provided in Section 2B.

#### D. Citizenship status

Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

*Note: Identification information is not required for a minor who is a U.S. citizen.*

#### E. Source of funds

Select only one box.

#### F. Purpose and expected use of the account

Select only one box.

### Section 3: Additional Account Owner Information

#### A. Account Owner - For UTMA/UGMA the custodian is the additional owner

Check the box labeled "Custodian" in Section 3 and enter the custodian's name, contact information and specific occupation.

#### B. Mailing Address (PO BOX allowed)

You must provide a mailing address and this may contain a PO Box or mailbox drop. *If a PO Box or mailbox drop add nonresidential address is provided in this section, then Section 3C must be completed to provide the residential address for mail.*

#### C. Residential Address (PO BOX NOT allowed)

This should only be completed if a PO Box or mailbox drop is provided in Section 3B.

#### D. Citizenship status

Check the box for the type of identification you are providing for the account owner. Enter the identification number and expiration date in the spaces provided. Enter the state designation if applicable.

*Note: For the guardian to receive copies of statements, deposit confirmations, or tax forms, complete the Additional Information Application Addendum.*

### Section 4: Transfer on Death (TOD) Designation, if applicable

*Skip this section; it is not applicable for this account type.*

### Section 5: Account Management

#### A. Client Representative

Enter the information for the client representative that is associated with or referring you to the Investment Advisor that will be managing your account.

#### B. Investment Advisor Information

Enter the name of the investment advisor or money manager firm managing your account. *Note: As the account owner, you are granting the exclusive authority to your investment advisor or money manager firm to direct the investment activities of this account.*

### Section 6: Email and Electronic Delivery

#### A. Email Address

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#### B. Electronic Delivery (e-delivery)

To Opt-in to e-delivery of statements and other account documents, please log in to [www.etrade.com/liberty](http://www.etrade.com/liberty). Go to: About your Account – then Document Delivery. Please contact your advisor for any questions you may have.

**Important:** If you would like to consolidate your statements for accounts managed by a single investment advisor, please complete the separate Statement Family Request form.

### Section 7: Authorized Signatures

It is important for you to read and understand the terms and conditions covering this application before you sign. Please print and keep a copy for your records of the terms and conditions which are made available by your advisor and at: [www.etrade.com/advisor/services/advisor/forms](http://www.etrade.com/advisor/services/advisor/forms).

**Sign and date.** Read over the signature section carefully, then the, custodian must sign and date the application. Signature by the minor is not required.

#### Interested Third Party(ies)

If you would like to designate interested third parties receive copies of your statements, deposit confirmations, or tax forms, then complete, sign, and provide an "Additional Information Application Addendum" form.

Examples of interested third parties are tax accountants, attorneys, and other types of personal representatives. *Note: An interested third party is not your investment advisor or your client representative.*