



**THIRD PARTY LIMITED TRADING AUTHORIZATION AGREEMENT**

<b>Alpine Securities Account Number</b>		<b>Alpine Securities Account Title</b>		
<b>Authorized Agent Name</b> <i>First Middle Last</i>		<b>Social Security/Tax ID Number</b>	<b>Date of Birth (mm/dd/yyyy)</b>	
<b>Primary Physical Address (no P.O. boxes or mail receiving services)</b>			<b>Email Address</b>	
<b>City</b>	<b>State</b>	<b>Zip</b>	<b>Primary Phone Number</b>	<b>Secondary Phone Number</b>
<b>Driver's License/Passport Number</b>			<b>Issuing State/Country</b>	<b>Expiration Date</b>
<b>1) Is the Agent a U.S. citizen?</b> <input type="checkbox"/> Yes- skip to question #2 <input type="checkbox"/> No- Country of citizenship: _____				
<b>1a) Is the Agent a permanent U.S. resident?</b> <input type="checkbox"/> Yes- Alien Registration Number: _____ <input type="checkbox"/> No- Visa type (if applicable): _____				
<b>2) Is the Agent employed by or associated with the securities industry or a financial services regulator?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No Firm Name(s): _____ Location(s) City, State _____				
<b>4) Is the Agent a control person or affiliate of a public company as defined by the SEC?</b> (generally defined as 10% or more shareholder, member of board of directors, and/or policy-making officer) <input type="checkbox"/> Yes- Agent Affiliation Details: _____ <input type="checkbox"/> No				
<b>5) Is the Agent a registered investment advisor?</b> <input type="checkbox"/> Yes- Agent Affiliation Details: _____ If yes, is the Agent using his/her license in a professional sale or trading capacity and being compensated for providing investment advice on this account?: _____ <input type="checkbox"/> No				
<b>6) Is the Agent, any member of their immediate family or any business associate of theirs a senior military or government official in a non-United States country?</b> <input type="checkbox"/> Yes- specify name of Agent, name of SPF, political title, relationship to Agent, and country of office: _____ <input type="checkbox"/> No				
<b>7) Large Trader ID. Number (if applicable):</b> _____				

**8) Agent's relationship to the owner(s) of the Alpine account listed above:**

- Spouse/Domestic Partner
- Immediate relative
- Extended Relative
- Investment Advisor
- CPA
- Attorney
- Other, specify: \_\_\_\_\_

**9) Provide the reason for this trading authorization request:**

- Convenience
- Help with account
- Professional assistance/guidance
- Other, specify: \_\_\_\_\_

**ACKNOWLEDGEMENTS AND REPRESENTATIONS**

By signing below, the Account Owner(s) and Authorized Agent:

- a) Represent and warrant that the information provided in this Third Party Limited Trading Authorization Form is true and accurate;
- b) Certify that the taxpayer (or other) identification number is true and accurate;
- c) Acknowledge and agree to be bound by Alpine's PRE-DISPUTE ARBITRATION CLAUSE, located in paragraph 16 on page 6 of the Alpine Securities Account Application, that applies to ALL CLAIMS arising in connection with Agreement and the Account;
- d) Acknowledge and agree that this Agreement shall be governed by and interpreted in accordance with the laws of the state of Utah;
- e) Represent that the Account Owner and Authorized Agent have received a copy of Alpine's privacy policy and that the information provided by the Account Owner(s) and Authorized Agent is governed by Alpine's privacy policy;
- f) Represent that the Account Owner and Authorized Agent have reviewed the Important Notice About Alpine's Customer Identification Program; and
- g) Represent and warrant that the Account Owner understands all such transactions conducted by the Authorized Agent are at the Account Owner's or Owners' own risk and agrees to indemnify and hold harmless the Brokerage Firm, the Introducing Broker (and any of Alpine's successors and assigns) from any and all losses arising from the acts, instructions, and/or omissions of the Authorized Agent.

\_\_\_\_\_  
Account Owner's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Account Owner's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Authorized Agent's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Registered Representative's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Account Number

\_\_\_\_\_  
Approved by Principal

\_\_\_\_\_  
Approval date

### THIRD PARTY AUTHORIZATION AGREEMENT TERMS AND CONDITIONS

The Account Owner(s) listed below hereby authorizes and appoints the Authorized Agent below as the Account Owner's or Owners' agent for the purchase and sale of securities and other financial instruments in cash and/or on margin in the Account Owner's or Owners' name or number on the Alpine Securities (the "Brokerage Firm") books (the "Account"). The Authorized Agent may act on behalf of and without notice to the Account Owner(s) to buy, sell, sell short, and to otherwise trade stocks, bonds, mutual funds, options, and /or other any other securities, financial contracts or financial instruments. Trading Authorization does not allow Authorized Agent to instruct the Brokerage Firm to make any changes to the Account Owner(s) Account, such as address of record, suitability information, or to upgrade the Account to trade on margin or trade options. The actions of the Authorized Agent have the same force and effect as those of the Account Owner(s) with respect to such transactions, and Brokerage Firm is authorized to follow such actions as if directly instructed by the Account Owner(s). The Authorized Agent represents they are familiar with the Account Owner(s) investment objectives. The Account Owner(s) acknowledge that all transactions regarding the Account conducted by the Authorized Agent will be governed by Alpine's Customer Agreement, as currently in effect and as amended from time to time. The provisions set forth in the Customer Agreement (including provision 16. Pre-Dispute Arbitration Clause and provision 27. Privacy Policy) shall apply equally to the Authorized Agent.

If this is a fiduciary account, the Account Owner(s) affirms that this grant of trading authority has been conferred consistent with his/her fiduciary duties and powers.

The Account Owner(s) understands all such transactions conducted by the Authorized Agent are at the Account Owner's or Owners' own risk. The Account Owner(s) hereby ratifies and confirms any and all transactions made at any time by the Authorized Agent for the Account. Accordingly, the Account Owner(s) agrees to indemnify and hold harmless the Brokerage Firm, Introducing Broker (and any of Alpine's successors and assigns) from any and all losses arising from the acts, instructions, and/or omissions of the Authorized Agent. The Account Owner(s) agrees to indemnify the Brokerage Firm, Introducing Broker (and any of Alpine's successors and assigns) and to hold the Brokerage Firm harmless from any and all costs, expenses, losses, damages, fines, penalties, regulatory costs, and/or attorneys' fees that result directly or indirectly from the Account Owner(s)'s or Authorized Agent's use of the Account Owner(s)'s account and/or any and all failures by Account Owner(s) to satisfy the responsibilities specified in this Agreement. The Brokerage Firm assumes no responsibility for trade monitoring or reviewing any investment activity or decision of the Authorized Agent in the Account Owner(s) account. Further, the Brokerage Firm does not offer legal or tax advice. This authorization and indemnity is in addition to, and in no way limits or restricts, any rights which the Brokerage Firm may have under any other agreement with the Account Owner(s) or Authorized Agent. This authorization and indemnification shall benefit the Brokerage Firm and any successor firms irrespective of any changes at the time in the personnel thereof, and their assigns.

This Trading Authorization Agreement supersedes any prior Trading Authorization Agreements that the Account Owner(s) may have executed with regard to the Account. This Agreement shall remain in full force and effect until revoked by the Account Owner(s), written notice addressed to the Brokerage Firm and delivered to its offices. The Account Owner(s) shall be liable for transaction initiated prior to the Brokerage Firm's receipt of such written revocation.

The Authorized Agent agrees to immediately notify the Brokerage Firm in writing if any Authorized Agent, or members of his/her household are either a) currently employed or licensed by a member of a stock exchange or the Financial Industry Regulatory Authority (FINRA), or registered as an investment advisor and using the license in a professional sales, trading or customer service capacity, or b) a director, 10% shareholder or policy-making officer of a company which trades publicly on a stock exchange.

#### **Agent Notice**

***To help the government fight the funding of terrorism and money laundering activities, financial institutions obtain and record information in order to ensure the identity of each person authorized to trade on the account.***

**What this means for you: When you are authorized to trade on an account, we will ask for your name, address, date of birth, and other information that will allow us to identify you. We may also utilize a third-party information provider for verification purposes and/or ask for a copy of your driver's license or other identifying documents.**



## PRIVACY POLICY AND DISCLOSURE

Alpine Securities Corporation (Alpine), understands that privacy is an important issue for our customers. We place a high priority on the protection of personal information that you provide to us. We are committed to protecting your privacy and the confidentiality of your personal financial information. Please be aware that this policy applies to former customers as well as current customers and to customers of correspondent broker dealers for which we clear transactions.

### Sharing Information

We do not disclose personal information to non-affiliated third parties, unless one of the following applies:

- Alpine discloses information to service providers that assist us in processing your transactions or servicing your account. An example would be the company that prints and mails your account statements.
- Alpine discloses personal information if required by law. An example would be providing information to industry regulators, to law enforcement agencies, for fraud prevention, or to resolve customer disputes.
- Alpine shares information with our affiliates in order to serve you more efficiently and make it more convenient for you to do business with us. We are permitted by law to share information with our affiliates about your account history. Our affiliates have similar privacy policies.

### How Information Is Obtained

Information collected by us may come from the following sources:

- Account Applications – information received from you such as your name, address, telephone number, social security number, occupation, income, etc. Because we strive to provide the best service to you, it is important to keep this information complete and accurate. Please contact your account representative if you need to update or correct this personal information.
- Transactions – information relating to trading, account balances, positions, etc.
- Other sources – information which may be received from other sources with your consent.

### How You Are Protected

Alpine uses physical, electronic and procedural system safeguards to store and secure information about you in compliance with federal standards. Our system protects your information from unauthorized access and use. Access is permitted only to those individuals within our organization who need the information to perform their job responsibilities.

Alpine provides you with a copy of this policy when you open an account, and we send you notifications annually thereafter. If we change this policy or find it necessary to disclose your personal information in a way that is inconsistent with this policy, we will notify you in advance and give you the opportunity to “opt out” of such disclosure.

Alpine thanks you for your continued support and for your business. Again, we reiterate our pledge to protect your privacy as outlined above.