



# NEW ACCOUNT FORM

Institutional DVP Accounts Only

Account #:

Rep ID:

## 1. ACCOUNT INFORMATION

Account Name		Fidessa Acronym	
Street Address			
City	State/Province	Postal Code	Country
Telephone	Mobile Phone	Facsimile	

## 2. TRADER/ OPERATIONAL CONTACT

Name		
Account Type	Tax ID #	DTC #
Agent ID	Internal Account #	
Institutional ID #	Euroclear #	Clearstream #

## 3. INTERESTED PARTIES

**Interested Party #1:**

**Interested Party #2:**

## 4. INSTITUTIONAL ACCOUNTS

Is this an institutional account as defined in FINRA Rule 4512(c)? If so, please select the appropriate classification code below.

N = Account is not an institutional account as defined in FINRA Rule 4512(c).

Q = Account is an institutional account as defined in FINRA Rule 4512(c) and is a Qualified Institutional Buyer ("QIB") as defined in SEC Rule 144A. Additional documentation may be required for QIBs.

Y = Account is an institutional account as defined in FINRA Rule 4512(c), but as of account opening was not a QIB.

## 5. CUSTOMER ACKNOWLEDGEMENT

**\*\*\* All confirms will be generated by DTC-ID System \*\*\*** Check here for hard copy confirms.

_____ Signature of Registered Representative	_____ Print Name	_____ Date
_____ Signature of Supervisory Principal	_____ Print Name	_____ Date



# INSTITUTIONAL LIST OF AUTHORIZED TRADERS

\*Exempt accounts only

StoneX Financial Inc. requires your organization to provide written authorization for those allowed to purchase or sell securities on behalf of your organization. We will deem this/these authorization(s) to be in effect until we receive updated authorizations, or until you revoke such authorizations in writing.

ACCOUNT INFORMATION					
Provide information about the account.	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 100px; padding: 2px;">Company Name</td> </tr> </table>	Company Name			
Company Name					
AUTHORIZED TRADERS					
Authorized Trader #1	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%; padding: 2px;">Name</td> <td style="width: 40%; padding: 2px;">Title</td> </tr> <tr> <td colspan="2" style="padding: 2px;">Restrictions</td> </tr> </table>	Name	Title	Restrictions	
Name	Title				
Restrictions					
Authorized Trader #2	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%; padding: 2px;">Name</td> <td style="width: 40%; padding: 2px;">Title</td> </tr> <tr> <td colspan="2" style="padding: 2px;">Restrictions</td> </tr> </table>	Name	Title	Restrictions	
Name	Title				
Restrictions					
Authorized Trader #3	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%; padding: 2px;">Name</td> <td style="width: 40%; padding: 2px;">Title</td> </tr> <tr> <td colspan="2" style="padding: 2px;">Restrictions</td> </tr> </table>	Name	Title	Restrictions	
Name	Title				
Restrictions					
Authorized Trader #4	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%; padding: 2px;">Name</td> <td style="width: 40%; padding: 2px;">Title</td> </tr> <tr> <td colspan="2" style="padding: 2px;">Restrictions</td> </tr> </table>	Name	Title	Restrictions	
Name	Title				
Restrictions					
Authorized Trader #5	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%; padding: 2px;">Name</td> <td style="width: 40%; padding: 2px;">Title</td> </tr> <tr> <td colspan="2" style="padding: 2px;">Restrictions</td> </tr> </table>	Name	Title	Restrictions	
Name	Title				
Restrictions					
Authorized Trader #6	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%; padding: 2px;">Name</td> <td style="width: 40%; padding: 2px;">Title</td> </tr> <tr> <td colspan="2" style="padding: 2px;">Restrictions</td> </tr> </table>	Name	Title	Restrictions	
Name	Title				
Restrictions					
CERTIFICATIONS					
<p>This form may only be executed by an officer of your organization authorized to grant such trading authority.</p> <p style="margin-top: 20px;"> <span style="float: left; width: 45%;">Authorized Individual Signature</span> <span style="float: right; width: 45%;">Title</span> </p> <p style="margin-top: 20px;"> <span style="float: left; width: 45%;">Authorized Individual Name</span> <span style="float: right; width: 45%;">Date</span> </p>					

\*For purposes of this form, "exempt accounts" are those not subject to documentary verification under the USA Patriot Act & include:

- A financial institution regulated by a federal functional or bank regulated by a state bank regulator;
- A department or agency of the United States or any state or political subdivision of any state;
- An entity established under the laws of the United States, of any state, or between two states, that exercises governmental authority on behalf of the United States or any such state or political subdivision; and
- Any entity, other than a bank whose common stock is listed on the NYSE or whose common stock has been designated as a NASDAQ National Market Security provided that, for purposes of this exemption an entity that is a financial institution, other than a bank, is exempt only to the extent of its domestic operations.

Non-exempt accounts are subject to additional documentation requirements.



**BBL INSTITUTIONAL SUITABILITY CERTIFICATE**  
**AFFIRMATIVE INDICATION OF EXERCISE OF**  
**INDEPENDENT JUDGMENT**  
Pursuant to FINRA Rule 2111<sup>1</sup>

In connection with any recommended<sup>2</sup> transaction or investment strategy by a registered broker-dealer, the undersigned acknowledges on behalf of the Institution named below that:

- I. It is an Institutional Account as defined in FINRA Rule 4512(c)<sup>3</sup>;
- II. It (1) is capable of evaluating investment risks independently, both in general and with regard to all transactions and investment strategies involving a security or securities; and (2) will exercise independent judgment in evaluating the recommendations of any broker-dealer or its associated persons, unless it has otherwise notified the broker-dealer in writing;
- III. It will notify StoneX Financial Inc. if anything in this Certificate ceases to be true;
- IV. This Certificate and the information contained herein may be shared with broker-dealers or third parties, including via a secure database or electronic platform; and
- V. He or she is authorized to sign on behalf of the Institutional Account named below.

By signing this Certificate, the undersigned affirms that the above statements are accurate but does not waive any rights afforded under U.S. federal or state security laws, including without limitation, any rights under Section 10(b) of the Securities Exchange Act of 1934, as amended, and the rules and regulations promulgated thereunder.

NOTE: This Certificate shall apply with respect to all recommended transactions and investment strategies involving securities that are entered into by the "Institutional Account" named in this Certificate, whether for the account of such Institutional Account or for the account of any beneficial owner that has delegated decision making authority to such Institutional Account.

<i>Institutional Account Name</i>	<i>Address, City, State, ZIP</i>
<i>Name of Authorized Signatory</i>	<i>Title of Authorized Signatory</i>
<i>US Taxpayer ID Number</i>	
<i>Telephone Number</i>	<i>Email Address</i>
<i>Signature of Authorized Signatory</i>	<i>Date</i>

<sup>1</sup> Available at <https://www.finra.org/rules-guidance/rulebooks/finra-rules/4512>.

<sup>2</sup> As defined in FINRA Rules.

<sup>3</sup> The term "Institutional Account" means the account of: (1) a bank, savings and loan association, insurance company or registered investment company; (2) an investment adviser registered either with the SEC under Section 203 of the Investment Advisers Act or with a state securities commission (or any agency or office performing like functions); or (3) any other person (whether a natural person, corporation, partnership, trust or otherwise) with total assets of at least \$50 million as of the date of this Certificate (whether such assets are invested for such person's own account or under management for the account of others).