



## Outside Brokerage Account Disclosure Form

A Signal Securities Representative may not open or maintain an account with another broker/dealer without authorization from the Compliance Department. In accordance with NASD regulations, the Compliance Department must also receive and review duplicate statements and confirmations from the other broker/dealer. This rule applies to any accounts that the Representative has authority to access.

By completing this form, Signal Securities will have all necessary information to request duplicate statements and confirmations from the broker/dealer where your account(s) are held. The Compliance Department will generate a 407 Letter (a standard industry letter) to send to the other firm. This letter gives permission for you to maintain your outside account.

**\*\*Note: Mutual fund accounts held directly at the mutual fund company do not need to be disclosed.**

**Representative Name:** \_\_\_\_\_

**Name of Other Broker/Dealer:** \_\_\_\_\_

**Address of Other Broker/Dealer:** \_\_\_\_\_

\_\_\_\_\_

**Account#:** (if account has already been established) \_\_\_\_\_

**Account Registration:** (i.e. IRA, Individual) \_\_\_\_\_

**Name of Other Broker/Dealer:** \_\_\_\_\_

**Address of Other Broker/Dealer:** \_\_\_\_\_

\_\_\_\_\_

**Account#:** (if account has already been established) \_\_\_\_\_

**Account Registration:** (i.e. IRA, Individual) \_\_\_\_\_

By Signing below, I hereby affirm that I understand and verify the accuracy of the information contained on this form.

**Representative Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_