

# User ID and eDelivery Request

## ADVISOR SOLUTIONS

For use with Pershing Advisor Solutions brokerage custody and BNY Mellon, National Association ("BNY Mellon, N.A.") bank custody accounts.

### COMPLETE THIS FORM TO:

- Create or modify an existing User ID and password for online access to our website.
- Provide instructions to establish electronic delivery ("eDelivery") of Account Communications.
- Authorize view-only online access to your account(s) for a third party (your attorney, accountant, or other interested party).
- Link accounts to an existing User ID.

### STEP 1. USER ID INFORMATION

If you create a User ID, your Account Communications will default to eDelivery. If you do not request a User ID below, or if you change your delivery preferences to paper, each Account Communication may be subject to a fee. At any time, if you would prefer to receive certain Account Communications via paper, please log in to the Investor Portal and change your delivery preferences. You will be notified by e-mail when documents become available for you to retrieve online at our website. The URL for the website will be provided to you via email once your ID has been established. (Account Communications are defined in the Portal Access Terms and Conditions; Electronic Delivery Consent below.)

#### Existing users:

To link accounts to an existing ID, provide the information below and skip to the LINK ACCOUNTS TO THE USER ID section:

Existing User ID:	Date of Birth:
Name:	Email:

Existing User ID:	Date of Birth:
Name:	Email:

Existing User ID:	Date of Birth:
Name:	Email:

#### New users:

All new users must complete this section to receive a User ID.

#### Select one option below:

- ☐ Check here if this user is a first party (account holder or authorized individual allowing for full Investor Portal access)
- ☐ Check here if this user is a third party, such as attorney, accountant, or other interested party. This user will have view only capabilities.

Name (must be an individual and not an entity)	
Date of Birth	Mother's Maiden Name (last name)
Email Address	eDelivery Phone Number ( <b>required</b> to establish One Time Passcode)

Notices related to online activity shall be sent to this email address indicated above.

#### Desired User ID (cannot be an email address)

If you do not select a desired User ID or the desired User ID is not acceptable, we will create one for you. A User ID must have a minimum of 7 and maximum of 15 characters.

Desired User ID (first choice)	Desired User ID (second choice)
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Advisor Solutions refers to the brokerage services business of Pershing Advisor Solutions LLC ("Pershing Advisor Solutions") and/or the bank custody solutions business of BNY Mellon, National Association ("BNY Mellon, N.A.").

Pershing Advisor Solutions, member FINRA, SIPC, is a wholly owned subsidiary of The Bank of New York Mellon Corporation ("BNY Mellon"). Clearing, custody or other brokerage services may be provided by Pershing LLC, member FINRA, NYSE, SIPC. Pershing Advisor Solutions relies on its affiliate Pershing LLC to provide execution services. Trademark(s) belong to their respective owners.

Bank custody is provided by BNY Mellon, N.A. member FDIC, a wholly owned subsidiary of BNY Mellon.

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**ELECTRONIC DELIVERY NOTICE**

Your Account Communications will default to eDelivery. Third party users are not permitted to elect eDelivery. Each Account Communication delivered via paper may be subject to a fee.

**STEP 2. LINK ACCOUNTS TO THE USER ID**

Please list all accounts that should be linked to this User ID. By signing this form, each account holder acknowledges that they have read and agree to all terms and disclosures in this document. **Note: account holders that appear on multiple account registrations are only required to sign once below. Electronic signatures have the same legal effect, validity or enforceability as a manually executed signature or physical delivery thereof, to the extent and as provided for in any applicable law.**

PRIMARY ACCOUNT NUMBER	
PRINT NAME OF ACCOUNT HOLDER(S)	DATE
PRIMARY ACCOUNT HOLDER SIGNATURE(S)	

Account Number	
Print Name of Account Holder(s)	Date
Account Holder Signature(s)	

Account Number	
Print Name of Account Holder(s)	Date
Account Holder Signature(s)	

Account Number	
Print Name of Account Holder(s)	Date
Account Holder Signature(s)	

Account Number	
Print Name of Account Holder(s)	Date
Account Holder Signature(s)	

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STEP 3. PORTAL ACCESS TERMS AND CONDITIONS; ELECTRONIC DELIVERY CONSENT

"You" means the account owner(s) of the account.

"Account Communications" means all documents, communications and information related to Your Account, but not limited to, account statements, trade confirmations, prospectuses, quarterly, semi-annual or annual shareholder reports, proxy statements, tax forms, and other legal and regulatory notices, disclosures and documents.

"Authorized User" means a person that You have authorized to be provided with an additional user ID which enables access to your account online.

"Website" or "Investor Portal" means the investor portal or portals, maintained by Pershing, Pershing Advisor Solutions, a BNY Affiliate and/or your Financial Organization, that enables You to access information and perform other activities with respect to Your Account, whether such investor portal is accessed through an internet website, a mobile application that we maintain, or a third-party mobile application that we authorize.

**Portal Access Terms and Conditions.** You expressly agree and acknowledge that your use and any Authorized Users' use of the Portal is subject to the terms and conditions of use posted on the Portal or otherwise made available to You including, without limitation, any disclaimers of warranties and other notices. Such terms and conditions may be amended from time to time. Continued use of the Portal by You or any of your Authorized Users constitutes acceptance of the then-current terms and conditions.

We will provide a user ID and password for accessing the Portal. In order to maintain Your Account, you are required to confirm your user ID and password and confirm that you are able to access the Portal. You agree that You are solely responsible for: safeguarding and keeping confidential the password and user IDs that You and your Authorized Users use to access the Portal and any information that is retrieved from the Portal. You agree that You and your Authorized Users will only access the Portal from devices with industry standard anti-virus/anti-malware protection. You accept responsibility for all activities that occur under such user ID(s) or password(s).

You understand and agree that access to the internet and a valid email address is required to open Your Account and to access it through the Portal, and that you are responsible for notifying us of any change to your email address, which You can do through the Portal. You understand that we may also require a method of two-factor authentication to access the Portal, such as a mobile telephone or other device capable of receiving SMS messages or a device capable of running a multi-factor authentication application.

You agree to immediately notify your Financial Organization if: (i) Your passwords or user IDs are lost or stolen, or (ii) You become aware of any unauthorized use of the passwords, user IDs, or access to Your Accounts that may be related to your use of the Portal. Pershing is not liable for any loss or damage arising from any activity that occurs via the use of your password and/or user ID.

Use of this on-line service is at your sole risk. The Portal is provided on an "as is," "as available" basis and without warranties including, without limitation, those of merchantability, fitness for a particular purpose or non-infringement, other than those warranties which are implied by and incapable of exclusion, restriction, or modification under the laws applicable to this Portal service. No BNY Mellon Affiliate, nor their respective members, officers, partners, directors, employees, representatives, agents, contractors, information providers or services, warrants timeliness, sequence, accuracy, completeness, reliability, or

content of electronic information or that Portal service will be uninterrupted or error free. You agree that Pershing or your Financial Organization may send notices related to on-line activity in Your Account to the email address(es) that we have on record for electronic delivery purposes.

*Consent to Electronic Services and Delivery.* You agree to conduct business with respect to Your Account and any other account and any other Advisor Solutions account (collectively, "Advisor Solutions Accounts") electronically. You consent to the use of electronic signatures in connection with all matters relating to Your Advisor Solutions Accounts and agree that your use of an electronic signature to sign any document or agreement relating to Your Advisor Solutions Accounts legally binds you in the same manner as if you had manually signed such document. You consent to the electronic delivery of all Account Communications, and you agree that this consent may be relied upon by any issuer or other third party from whom we receive Account Communications on your behalf or on behalf of whom we transmit Account Communications to You. Account Communications will be delivered to You through the Portal.

We will send you an email or digital notification when an Account Communication is available to be accessed on the Portal. The email or digital notification will provide you with a link to, or instructions for accessing the Account Communication on the Portal. Any email notification(s) will be sent to the email address(es) that we have on record for electronic delivery purposes. While Account Communications will be delivered through the Portal, we may also deliver Account Communications to you through other any other form or manner of electronic communications permitted under applicable law, including through email (including as an attachment to an email) and text messages, by providing a hyperlink to Communications in this Agreement, or by providing written or electronic notice that includes a hyperlink to or URL or website address for a website where the Communications can be viewed or downloaded. You acknowledge that the Account Communications to be delivered electronically will contain your personal financial information, and you consent to the delivery of such information by electronic means.

Account Communications will be made available in portable document format ("PDF") or HyperText Markup Language ("HTML") or other compatible formats. You affirm that You have installed a recent version of Adobe Acrobat Reader or other software application that enables You to view and print your Account Communications. You may print or save a copy of any of the Account Communications at any time. Tax-related Account Communications will be available on the Portal for at least seven (7) years from the date they were first made available.

In the event of an electronic delivery notification failure as defined by us, we may discontinue electronic delivery and mail Your Account Communications in paper form until we determine that it is appropriate to resume electronic delivery of Account Communications. If You lose access to the Portal, You should contact your Financial Organization to have your access reinstated. You agree that electronic delivery of an Account Communication is deemed accepted, regardless of whether You access or view a particular Account Communication. You acknowledge that any Authorized Users for Your Account or any BNY Account are able to make changes to the electronic delivery settings for Your Account or any BNY Account, and You agree to accept responsibility for such changes.

You may request a paper copy of any Account Communication through the mail by contacting your Financial Organization, which may charge you a fee for the delivery of such Account Communication to you.

Notwithstanding your consent to electronic delivery of all Account Communications, we may, in our discretion, deliver any Account Communications to you through the mail, including by mailing You a

document that includes a website or URL address for a Communication. We will also deliver Account Communications to you through the mail to the extent required by Applicable Law.

*Revocation of Consent.* Your consent to electronic delivery under this Agreement is effective until revoked by You. You may revoke your consent to electronic delivery and receive paper Account Communications by

contacting your Financial Organization, who will receive such notice on behalf by us. Any revocation of consent to electronic delivery must be explicit, and any request to provide a paper copy of one or more Account Communications will not constitute a revocation of consent to electronic delivery.

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