

New Joint Rep Code Assignment Request    
  Update Existing Joint Rep Code: \_\_\_\_\_

All Registered Representatives under the same joint rep code should: (i) be supervised by the same OSJ Supervisor; and (ii) have all of their business conducted under the same branch code. (Please select only ONE category per Rep. All RRs on the joint rep code must complete.)

I am a Primary Registered Representative with respect to the accounts under the assigned joint rep code. As the Primary Registered Representative, I am responsible for all activities related to the client accounts including suitability of securities recommendations. I am also responsible for; (i) maintaining the account information current at all times and regular contact with the clients; and (ii) actions or activities conducted or affected by other Registered Representative(s) under the joint rep code for the accounts. With my signature below, I acknowledge that due to the fact that I am named as the Primary Registered Representative for the joint rep code, I may be subject to complaint or regulatory findings even if I am not personally named in such claim or allegation.

1 <sup>st</sup> Primary Registered Representative's Name	Signature	Date
2 <sup>nd</sup> Primary Registered Representative's Name	Signature	Date

I am a Secondary Registered Representative with respect to the accounts under the assigned joint rep code. As the Secondary Registered Representative, my responsibilities include, but not limited to: (i) participation of securities transactions on an unsolicited basis for the period of the Primary Registered Representative's absence; (ii) recommendations of securities transactions based on the Primary Registered Representative's instruction; and (iii) contacting the clients per the Primary Registered Representative's instruction. With my signature below, I acknowledge that being named as the Secondary Registered Representative for the joint rep code will not relieve me from any liabilities or responsibilities which may result from any complaint or regulatory and internal findings.

1st Secondary Registered Representative's Name	Signature	Date
2 <sup>nd</sup> Secondary Registered Representative's Name	Signature	Date

Other Registered Representative(s): List all Other Registered Representatives who are neither the Primary Registered Representative nor the Secondary Registered Representative for the accounts under the assigned joint rep code. Also explain the scope of their responsibilities with respect to the accounts under the assigned joint rep code. With my signature below, I acknowledge that being named as the Other Registered Representative for the joint rep code will not relieve me from any liabilities or responsibilities which may result from any complaint or regulatory and internal findings.

Scope of Responsibilities (i.e., product due diligence, security research, administrative functions, etc): <input type="checkbox"/> See attached and signed sheet		
Other Registered Representative's Name	Signature	Date

Scope of Responsibilities (i.e., product due diligence, security research, administrative functions, etc): <input type="checkbox"/> See attached and signed sheet		
Other Registered Representative's Name	Signature	Date

With my signature below, I attest that I accept responsibility for Registered Representatives listed above and that I require that they conduct all of their business under the same branch code \_\_\_\_\_ (branch code) that I oversee unless otherwise approved by the firm's CEO.

OSJ Supervisor's Name	OSJ Supervisor's Signature	Date
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**Sales Supervision's Approval**

Approved     Rejected    Date: \_\_\_\_\_ / By (name and signature): \_\_\_\_\_

**Operations Department**

Rep Code: \_\_\_\_\_ / Books and Records System Updated Date and By: \_\_\_\_\_