

# NetXInvestor® e-delivery Authorization (formerly mydocumentsuite.com)

Please print, preferably in capital letters and black ink. All information requested is **required** unless *optional* is indicated.

NetXInvestor e-delivery allows your client to view their monthly statements and confirmations online, and gives them the option of not receiving mailed statements and confirmations. This is a complimentary service.

\_\_\_\_\_  
Advisor name

\_\_\_\_\_  
Advisor code

## ACCOUNT LOGIN ID

- Create new ID  Change email address for existing ID: \_\_\_\_\_
- Convert existing NetXInvestor Basic/Plus ID: \_\_\_\_\_  Add account to existing NetXInvestor e-delivery ID: \_\_\_\_\_
- Change electronic delivery preferences \_\_\_\_\_

Please complete the following information for the primary account owner. All information required.

\_\_\_\_\_  
First name

\_\_\_\_\_  
Last name

\_\_\_\_\_  
Mother's maiden name

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_  
Birth date

\_\_\_\_\_  
User ID desired<sup>1</sup>

\_\_\_\_\_  
Email address (one valid email address must be provided for delivery of notification emails)

Please provide information regarding the accounts you wish to view online. When you elect to receive electronic delivery of brokerage account communications as outlined below, you will no longer receive paper copies via postal mail. You must read and agree to the Electronic Delivery Agreement below and sign the client signature section representing that you have read and understand the agreement.

**This form will request one user ID for all accounts under the provided Social Security Number or as listed individually.** If the primary account holder above is not the sole owner on all accounts listed below, each account owner must sign on Page 2 even if they are married or reside in the same household. Please attach an additional sheet if you wish to link more than five accounts. **IF YOU WOULD LIKE TO LINK ALL ACCOUNTS UNDER THE PROVIDED SSN, PLEASE COMPLETE SECTION A. IF YOU WOULD LIKE TO LINK ONLY SPECIFIC ACCOUNTS, PLEASE COMPLETE SECTION B.**

### A – All accounts under the SSNs below<sup>2</sup>

SSN	Client name	Electronic Delivery <sup>3</sup>				
		Account statements	Trade confirms	Notifications <sup>4</sup>	Prospectus mailings	Proxy and shareholder communications (PIN required) <sup>5</sup>
_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____
_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____
_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____
_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____

### B – Only the account numbers below

Account number	Client name	Electronic Delivery <sup>3</sup>				
		Account statements	Trade confirms	Notifications <sup>4</sup>	Prospectus mailings	Proxy and shareholder communications (PIN required) <sup>5</sup>
_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____
_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____
_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____
_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____
_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____

## ELECTRONIC NOTIFICATION AGREEMENT

<sup>1</sup> Minimum length for the user ID is five characters; alphanumeric only; no special characters. Default will be generated if not specified or unavailable.

<sup>2</sup> Notification is required to add additional accounts that were not open at time of ID setup.

<sup>3</sup> Tax documents are also available via electronic delivery; however, enrollment must be done online by the account owner. Please contact your financial advisor for assistance.

<sup>4</sup> Please contact your financial advisor for a list of the specific notifications eligible for electronic delivery.

<sup>5</sup> A four-digit numeric PIN is required for electronic delivery of proxy communications.

# NetXInvestor® e-delivery Authorization (formerly myedocumentsuite.com)

Please print, preferably in capital letters and black ink. All information requested is **required** unless *optional* is indicated.

To stop receiving paper account statements and/or trade confirmations or other documents as they may be made available (the "Documents"), you agree to accept and receive electronic notification that the Documents are available online for your retrieval (the "Service"). "You" means the account owner(s) and/or authorized user(s) of the account. "Authorized user" means a person that you have authorized with full access to your account and has been granted a user ID. By accepting electronic delivery of the Documents, you are agreeing to the electronic delivery of all notices, disclosures, and other information relating to your account that are communicated with or within the Documents.

The Documents will be available to you online via a service provided by Cambridge Investment Research, Inc. (Cambridge) and Pershing LLC (Pershing) on behalf of your Registered Investment Adviser (RIA). You will be notified by electronic mail (email) when these documents are available to be viewed online. The email notification(s) will be sent to the email address that you provided on this form. In the event of an email notification failure as defined by Pershing, Pershing will terminate this arrangement and you will revert to receiving paper documents until such time that you re-enroll through the Service.

By accepting this Electronic Notification Agreement, you affirm that the client email address provided above is a valid email address, have access to the Internet, and you are at least 18 years of age. You also affirm that you have installed Adobe Acrobat Reader version 4.0 or higher on your computer to view your Documents. You agree that electronic delivery of the Documents is deemed accepted, regardless of whether a particular document is accessed or viewed. You may print or save a copy of the Documents at any time. You may request a mailed copy of your Documents by calling your RIA.

Your consent to accept electronic delivery of the Documents is effective until revoked by Cambridge, Pershing, your RIA, or you. Cambridge may revoke such consent at any time. You may revoke your consent and resume receiving paper Documents by changing your delivery preferences online. You may also contact your RIA directly for assistance. You expressly agree and acknowledge that your use of the Service is at your sole risk. Neither Cambridge, Pershing, nor their respective directors, officers, employees, agents, contractors, affiliates, information providers, or services warrant that the online service will be uninterrupted or error free. Neither Cambridge nor Pershing warrants the timeliness, sequence, accuracy, completeness, reliability, or content of any information with respect to accessing electronic information. The service provided is 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 with are implied by and incapable of exclusion, restriction, or modification under the laws, rules and regulations applicable to this service. By signing this Electronic Notification Agreement, you agree to hold Cambridge, Pershing and each of their directors, officers, employees, agents, contractors, affiliates, information providers, successors, or assigns harmless from any liability, including but not limited to, any claims, judgments, expenses, liabilities, or costs of defense or settlement (including attorney's fees ) arising out of or related to delivering electronic copies of the Documents to you in accordance with the terms of this Electronic Notification Agreement. You are responsible for maintaining the confidentiality of your user ID and password, and for restricting access to your computer, and you agree to accept responsibility for all activities that occur under your user ID or password. You are agreeing to abide by the terms and conditions as they may be amended from time to time; amended terms will be posted on the netxinvestor.com website. Your continued use of the site will constitute your acceptance of the then-current terms and conditions. The terms and conditions of this Electronic Notification Agreement set forth the entire understanding and agreement between us with respect to the subject matter hereof.

By signing this Electronic Notification Agreement, you acknowledge that you have carefully read, understand, and agree to these terms and conditions; represent and warrant that you are authorized to enter into this agreement; and indicate your informed and affirmative consent to the electronic delivery of the Documents, no longer receiving paper copies of the Documents, and transmission of an electronic notice to a designated email address(es) as the only notice sent when the Documents become available.

We, the undersigned, give authority to grant online access to our above listed accounts or SSN to the recipient of this user ID and understand that if we have chosen to receive brokerage account statements and/or trade confirmations electronically, signing below represents that we have read and understand the Electronic Notification Agreement.

\_\_\_\_\_  
Client signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Client signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Client signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Client signature

\_\_\_\_\_  
Date

## FOR ADVISOR USE

Please direct your clients to access [www.netxinvestor.com](http://www.netxinvestor.com). The financial institution number is 5CR.

\_\_\_\_\_  
Email address

\_\_\_\_\_  
Advisor signature

\_\_\_\_\_  
Date

This email address will be used to send the user ID and Password to you within 72 hours via encrypted email. If you do not provide an address, we will use the primary email address for the advisor.

**Once complete, please submit to the home office via WebCapture or standard mail. If you have questions about this form, please feel free to contact Partner Support at 866-866-5005.**