siebert.

| Account Number |
|---|
| |

Email: service@siebert.com
Phone: 800.872.0444 | Fax: 212.486.2784

# Standing Payment Instructions Nonretirement

**Use this form to establish, change, or delete standing Bank Wire, Electronic Funds Transfer ("EFT"), Journal and/or Check Disbursement instructions on your brokerage account. Type on screen or fill in using CAPITAL letters and black ink.** If you need more room for information or signatures, use a copy of the relevant page.

## Helpful to Know

- **Do NOT use this form for Premiere Select® IRA, Defined Contribution Retirement Plans, or Health Savings Accounts.**
- Standing Instructions that are added to your account may be purged from the system due to inactivity after an extended period of time.
- If establishing 1st Party EFT bank instructions, or 3rd Party EFT with a common owner(s) on the brokerage and bank account, a copy of a voided check or statement must be provided to your Broker-Dealer with this form.
- 1st Party EFT means all owner(s) on the brokerage account are also owner(s) on the bank account. Any other relationships are considered 3rd Party EFT and must be established using the appropriate Standing Payment Instructions form.
- **Note:** Contact your investment representative for information on how to request a withdrawal from your account.

## 1. Account Owner(s)

| First Name | Middle Name | Last Name |
|---|---|---|
| | | |

| Additional Owner, Company or Trust Name *if applicable* |
|---|
| |

**Additional Account Numbers**

| Account Number | Account Number | Account Number |
|---|---|---|
| | | |

| Account Number | Account Number | Account Number |
|---|---|---|
| | | |

# 2. Bank Standing Instructions

**Bank Standing Instructions** allow you to move money between your brokerage account and a bank account via Bank Wire (processed via the Federal Reserve System), or EFT (processed via the Automated Clearing House "ACH"). **Bank Wire:** Once Bank Wire standing instructions are established and approved, they are active immediately. Your Broker-Dealer and/or your bank may charge a fee for Bank Wire. **EFT:** EFT may take 4–5 business days to become active. Business days are Monday through Friday. Bank and New York Stock Exchange holidays are not included. **If establishing 1st Party EFT, or 3rd Party EFT with a common owner(s), a voided check or statement must be included with this form.**

**EFT Instructions #1**

*Check one.* ▶ ☐ Establish new instructions
☐ Change existing instructions
☐ Delete existing instructions

| Line Number |
|---|
| |

*If you have multiple instructions established and are changing or deleting an existing instruction, include the line number. Obtain the line number from your investment representative.*

**1st Party EFT** *All owners on the brokerage account are also owners on the bank account. This option can be used for both receipts and disbursements.*

☐ Checking **OR** ☐ Savings

*Obtain the correct routing number from the bank. Different routing numbers may be used for Bank Wires and EFT transactions.* ▶

| Bank Routing Number | Bank Name |
|---|---|
| | |
| **Bank Account Number** *final destination* | **Payee Name(s) Exactly as Shown on Bank Account** |
| | |

**EFT Instructions #2**

*Check one.* ▶ ☐ Establish new instructions
☐ Change existing instructions
☐ Delete existing instructions

| Line Number |
|---|
| |

*If you have multiple instructions established and are changing or deleting an existing instruction, include the line number. Obtain the line number from your investment representative.*

**1st Party EFT** *All owners on the brokerage account are also owners on the bank account. This option can be used for both receipts and disbursements.*

☐ Checking **OR** ☐ Savings

*Obtain the correct routing number from the bank. Different routing numbers may be used for Bank Wires and EFT transactions.* ▶

| Bank Routing Number | Bank Name |
|---|---|
| | |
| **Bank Account Number** *final destination* | **Payee Name(s) Exactly as Shown on Bank Account** |
| | |

***continued on next page***

## 2. Bank Standing Instructions *continued*

**Bank Wire**

*Check one.*

☐ Establish new instructions
☐ Change existing instructions
☐ Delete existing instructions

| Line Number |
|---|
| |

*If you have multiple instructions established and are changing or deleting an existing instruction, include the line number. Obtain the line number from your investment representative.*

*Obtain the correct routing number from the bank. Different routing numbers may be used for Bank Wires and EFT transactions.*

**Bank Information** *Required*

| Routing Number | Bank Name |
|---|---|
| | |

**Beneficiary Payee**

***Confirm ALL wire instructions with the receiving institution. Missing or incorrect information may prevent processing, and some fields may or may not be required depending on your specific wire request.***

| Bank Account Number *Final destination* | Beneficiary Payee Name(s) Exactly as on Bank Account |
|---|---|
| | |

| Street/Building # | Street Name | Suite/Rm/Apt # | PO/Post Box |
|---|---|---|---|
| | | | |

| City/Town | State/Province | Zip/Postal Code | Country |
|---|---|---|---|
| | | | |

*For beneficiaries with an expanded and/or non-U.S. address*

| Department | Sub Department | Floor |
|---|---|---|
| | | |

| Town Location Name *e.g., Borough, Township, Village* | District Name *e.g., Region, Zone, Sector* |
|---|---|
| | |

**Further Credit Information** *Complete if final receiving bank uses an intermediary bank that is listed above*

*SWIFT Code is REQUIRED if the bank is outside the U.S.*

| Further Credit Account Number/SWIFT Code | Further Credit Name |
|---|---|
| | |

| Street/Building # | Street Name | Suite/Rm/Apt # | PO/Post Box |
|---|---|---|---|
| | | | |

| City/Town | State/Province | Zip/Postal Code | Country |
|---|---|---|---|
| | | | |

*For account(s) with an expanded address and/or that are outside the U.S.*

*It is your responsibility to ensure that the bank account outside the U.S. can accept U.S. dollars.*

| Department | Sub Department | Floor |
|---|---|---|
| | | |

| Town Location Name *e.g., Borough, Township, Village* | District Name *e.g., Region, Zone, Sector* |
|---|---|
| | |

**Additional Information** *As applicable*

*Use this field to provide any additional information not requested above but that may be required specific to these instructions/for processing, e.g., to list an Ultimate Creditor.*

| Details *Provide an additional message to the receiving bank* |
|---|
| |

| Additional Information |
|---|
| |

# 3. Journal Standing Instructions

**Journal Standing Instructions** allow you to transfer cash or securities from the brokerage account number(s) provided at the top of this form to another brokerage account ("to account") provided below.

*Certain journals and transfers are not permissible from brokerage accounts to other brokerage accounts or retirement accounts.*

*Consult with your investment representative for further information.*

☐ Establish Instructions *Provide the "to account" numbers that you wish to establish:*

| Account Number | Account Number |
|---|---|
| Account Number | Account Number |

☐ Delete Instructions *Provide the "to account" numbers that you wish to delete:*

| Account Number | Account Number |
|---|---|
| Account Number | Account Number |

# 4. Check Disbursement Standing Instructions

**Check Disbursement Standing Instructions** allow you to request that a check be paid and mailed to the name(s) and address on record or to an alternate payee and/or alternate address listed below.

**Payee #1**

*Check one.*

☐ Establish new instructions
☐ Change existing instructions
☐ Delete existing instructions

Line Number

*If you have multiple instructions established and are changing or deleting an existing instruction, include the line number. Obtain the line number from your investment representative.*

*Check one.*

☐ **1st Party** *Paid to the name(s) on the account and sent to mailing address of record. If selected, only the Memo and Check Stub Information fields can be modified.*

☐ **3rd Party** *Paid and/or mailed to an alternate payee and/or address.*

*Avoid any account number or SSN that compromises a customer's identity. If needed, use the Memo and Check Stub Information fields.*

Payee

Attention *maximum 32 characters total including "Attn:"*
Attn:

OR

Care of *maximum 32 characters total including "C/O"*
C/O

Address

City | State/Province | Zip/Postal Code

*Information provided in the Memo field will print on the check but will not appear visible in the window of the envelope.*

Memo *maximum 30 characters*

Check Stub Information *maximum 100 characters*

***continued on next page***

## 4. Check Disbursement Standing Instructions *continued*

**Payee #2**

*Check one.* ☐ Establish new instructions ☐ Change existing instructions ☐ Delete existing instructions

Line Number

*If you have multiple instructions established and are changing or deleting an existing instruction, include the line number. Obtain the line number from your investment representative.*

*Check one.* ▶ ☐ **1st Party** *Paid to the name(s) on the account and sent to mailing address of record. If selected, only the Memo and Check Stub Information fields can be modified.*

☐ **3rd Party** *Paid and/or mailed to an alternate payee and/or address.*

*Avoid any account number or SSN that compromises a customer's identity. If needed, use the Memo and Check Stub Information fields.*

Payee

Attention *maximum 32 characters total including "Attn:"* Attn:

OR

Care of *maximum 32 characters total including "C/O"* C/O

Address

City | State/Province | Zip/Postal Code

*Information provided in the Memo field will print on the check but will not appear visible in the window of the envelope.* ▶

Memo *maximum 30 characters*

Check Stub Information *maximum 100 characters*

## 5. Signatures and Dates *Form cannot be processed without signatures and dates.*

By signing below, you:

- Authorize National Financial Services LLC ("NFS") to act upon your and/or your Broker-Dealer's requests to disburse funds or transfer cash or securities from your brokerage account to the designated bank or other brokerage accounts above in accordance with the instructions given by you and/or your Broker-Dealer to NFS without first confirming those instructions with you directly.
- Understand and agree that NFS will not be liable for any loss, cost, or expense so long as NFS transmits the redemption proceeds to the bank account identified above or transfers cash or securities to another brokerage account maintained at your Broker-Dealer identified above. NFS reserves the right, but has no obligation, to confirm your Broker-Dealer's instructions with you prior to acting on such instructions.
- Further certify and agree that the above directions and authorizations in this document will continue until your Broker-Dealer and, if required, NFS receives the actual written notice of any change thereof.
- Indemnify and hold harmless your Broker-Dealer, NFS, FMTC and their officers, directors, employees, agents, affiliates, shareholders, successors, assigns and representatives from and against any and all losses, claims, or financial obligations that may arise from any act or omission by you and/or your Broker-Dealer with respect to your account.
- Understand and agree that this form is your authorization and direction to your Broker-Dealer and NFS to utilize these payment instructions when acting upon your request(s) to send a check disbursement or to move money from your brokerage account to a bank or other brokerage account(s) you designate above.
- Understand and agree that NFS cannot confirm the account registration at the receiving bank or financial institution.
- Understand that these instructions may be purged from your account if the instructions have not been used for an extended period of time.

**All account owners (and authorized individuals) must sign and date in accordance with the signature requirements outlined in the account's supporting documents.** For certain entities, such as trusts, estates, corporations, partnerships, or other organizations, identifying documentation is also required.

Print Account Owner Name *Full First, Middle, Last Name*

Account Owner Signature | Date *MM - DD - YYYY*

SIGN X

Print Authorized Signatory Name *Full First, Middle, Last Name*

Authorized Signatory Signature | Date *MM - DD - YYYY*

SIGN X