



**Request to Serve as Trustee, Executor or Beneficiary of Customer Account  
(FINRA Rule 3241)**

*Please provide notice of any prospective appointment as a 'position of trust' such as Trustee, Executor, POA, or Beneficiary of any customer account on this form. If the position is an existing relationship, you have 30 days from date of your registration with the firm to report and receive approval of the relationship by your supervisor.*

*Notice and approval is **NOT** required if the account belongs to an immediate family member, or if you have no customer accounts assigned to you.*

Financial Professional (FP) Name: \_\_\_\_\_

Customer Account Title: \_\_\_\_\_

Prospective Role [POA, Trustee, Beneficiary, Executor]: \_\_\_\_\_

Relationship to Customer: \_\_\_\_\_

Length of Relationship with Customer: \_\_\_\_\_

Customer Age: \_\_\_\_\_

Does the customer have any mental or physical impairments? \_\_\_\_\_

If yes, describe: \_\_\_\_\_

Size of Estate: \_\_\_\_\_ Size of bequest to FP if any: \_\_\_\_\_

Will remuneration be paid to the FP? \_\_\_\_\_ If so, please describe: \_\_\_\_\_

FP Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**For Internal Use Only**

*Will the activity interfere with or compromise the FP's responsibilities to the customer?* \_\_\_\_\_

*Will the RR will derive financial gain other than customary fees or other reasonable charges?* \_\_\_\_\_

*Will the RR assuming such status present a risk of financial exploitation of the customer?* \_\_\_\_\_

*Approved or disapproved?* \_\_\_\_\_ *Conditions?* \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

Supervisor Name: \_\_\_\_\_ Date: \_\_\_\_\_

Signature: \_\_\_\_\_