



**TRUSTEE CERTIFICATION OF INVESTMENT POWERS**

**ACCOUNT INFORMATION**

When completing this form, please answer all questions and print the names of all Trustees clearly in the section indicated on the first page. After answering all questions in their entirety, please have ALL TRUSTEES sign in the appropriate area on the last page of the document. In order for this Trustee Certification of Investment Powers to be a valid substitution for your Trust Agreement, this form MUST be completed in its entirety and must be signed by ALL TRUSTEES. A copy of the will or trust agreement may be required prior to executing transactions.

**Please be advised that we will not be able to open your account without the information requested.**

**TRUST INFORMATION**

Title of the trust to which this certification applies is \_\_\_\_\_

Effective Date of Trust \_\_\_\_\_ Latest Amendment or Reinstatement Date \_\_\_\_\_

The grantor(s), settler(s) or testator(s) who established the Trust is/are \_\_\_\_\_

**TRUST TYPE**  Revocable  Irrevocable  Testamentary  Charitable  Family  Irrevocable Living Trust  Living

If revocable, the name of the person who can revoke \_\_\_\_\_

Governing State Law \_\_\_\_\_

Tax ID / Social Security Number \_\_\_\_\_

**Please check ONE of the following:**

The Trust Agreement explicitly authorizes each of the following Trustees **to act individually without the approval of the other Trustees.** Harbour Investments has the authority to accept orders and other instructions relative to the Trust account from any one of these Trustees, acting alone, and they may execute any documents on behalf of the Trust which Harbour may require.

**NOTE:** Although the Trust may allow a trustee to act individually, under certain circumstances, in their discretion Harbour Investments may require that the written approval of all Co-Trustees be obtained.

The Trust Agreement DOES NOT authorize the trustees to act individually on behalf of the Trust account.

**PRINT TRUSTEE #1 NAME:** \_\_\_\_\_ **Date of Birth** \_\_\_\_\_

**PRINT TRUSTEE #2 NAME:** \_\_\_\_\_ **Date of Birth** \_\_\_\_\_

**PRINT TRUSTEE #3 NAME:** \_\_\_\_\_ **Date of Birth** \_\_\_\_\_

**PRINT TRUSTEE #4 NAME:** \_\_\_\_\_ **Date of Birth** \_\_\_\_\_

**If more than four trustees, please attach a separate sheet with name(s) and signature(s) (see Trustee Indemnification disclosure).**

**BENEFICIARY ATTESTATION**

**I hereby attest that neither my Harbour Financial Representative, any member of their family, nor anyone associated with Harbour Investments, Inc. is named as a beneficiary of this Trust. Trustee(s) Initial Here:**

\_\_\_\_\_

**POWER OF THE TRUSTEES**

The undersigned Trustees certify that they have the power under the Trust Agreement and applicable state or local law to enter into transactions for the purchase and sale of securities and other investments, including without limitation, stocks (preferred or common), bonds, mutual funds, annuities, and certificates of deposit.

In addition to the foregoing powers, the undersigned trustees are specifically authorized to:

- 1. Maintain margin accounts and through such accounts borrow money to withdraw funds on margin, purchase securities on margin and to pledge those securities and all others in the margin account as security for the loan, establish and maintain an asset management account with a debit card and/or check writing  Yes  No
- 2. Sell securities that the Trust does not own (short sales) and borrow securities to facilitate this practice.  Yes  No
- 3. Engage in the purchase and sale of options such as covered writing or cash secured puts.  Yes  No
- 4. Engage in uncovered put and call writing.  Yes  No
- 5. Delegate Trustee powers to third parties, like investment advisers or other agents, under a Power of Attorney (POA). (Copy of POA delegating power in undersigned capacity as Trustee is also required.)  Yes  No

**TRUSTEE(S) INDEMNIFICATION AND SIGNATURES (Please read and sign below):**

The undersigned Trustees jointly and severally indemnify Harbour Investments, and each of their affiliates, officers, directors, employees, agents, successors or assigns harmless from any liability (including attorney’s fees) from any claims, judgments, expenses, liabilities or costs of defense or settlement arising out of or related to breach of any representation or warranty made herein, or from effecting any transfers or transactions pursuant to instructions given by any of the Trustees or Successor Trustees listed above, or any actual improper or unsuitable action resulting from instructions given to Harbour Investments by any of the Trustees. This indemnification is made by us both in our capacities as Trustees and in our individual capacities. We certify that the Trust is currently in existence, had not been revoked, modified, or amended in any manner that would cause the certifications herein to be incorrect and, we agree to inform Harbour Investments IMMEDIATELY in writing of any amendment to the Trust, any change in the composition of the Trustees, or any other event which could alter the certifications made above. We acknowledge the Harbour Investment’s right to examine the Trust Agreement and hereby agree to provide Harbour Investments with a copy of the Trust Agreement if so requested. (Where applicable, plural references in this certification shall be deemed singular.)

The client hereby makes the following representations about informed consent of the receipt of certain information from Harbour: I acknowledge receipt of Harbour’s Form CRS and understand its contents. I agree to receive, and have received, delivery of Harbour’s Best Interest Disclosure by visiting <https://harbourinv.com/clients/regulation-bi/>.

**TRUSTEE #1 NAME:** \_\_\_\_\_ **SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**TRUSTEE #2 NAME:** \_\_\_\_\_ **SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**TRUSTEE #3 NAME:** \_\_\_\_\_ **SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**TRUSTEE #4 NAME:** \_\_\_\_\_ **SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_