

Forward To: 214 West 9<sup>th</sup> Street  
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 Onaga, KS 66521-0420  
 P) 800-521-9897  
 F) 913.901.4190  
 CustomerService@mainstartrust.com

**REPRESENTATIVE INFORMATION**

Representative Name:		Mainstar Rep Number:	
Address:		Business Phone Number:	
		Cell Phone Number:	
		Fax Number:	
Email Address:			
Broker Dealer or RIA:			

**ACCOUNT AUTHORIZATION**

Your representative (and his/her BD or RIA firm) will be allowed access to online account statements and other account information. Mainstar Trust may furnish account information to your representative (and his/her BD or RIA firm) electronically via a delivery method of Mainstar Trust's choice in its sole discretion.

If you wish to grant additional trading authority you must check the box below.

- My Representative is authorized to buy, sell, deliver and/or settle trades of any assets in accordance with the terms and conditions of Mainstar Trust upon the written direction of my Representative. Mainstar Trust has the right to rely on any representations and/or warranties made by my Representative in connection with a sale or purchase on behalf of my account, including but not limited to, representations with regard to prohibited transactions and suitability requirements.

**BROKER DEALER OR RIA AFFILIATION (if any)**

If my Representative is affiliated with a BD or RIA firm, and to assist the BD or RIA firm with its supervisory responsibilities, the Custodian may make available to or furnish my account information to my Representative's respective BD or RIA as set forth above.

If my Representative changes firms, BD, or RIA affiliations, my Representative will continue to have the same authority on my account. It is my Representative's responsibility to notify both Mainstar Trust and me of any change in my Representative's firm, BD, or RIA affiliation. My Representative also must notify the asset companies and Mainstar Trust of and complete the necessary BD or RIA documents to change his/her firm, BD, or RIA affiliation.

**REPRESENTATIVE ACCEPTANCE**

I agree to accept the designation of "Representative" for this account and all the duties and responsibilities arising from that designation. I have access to the Individual Retirement Account Application, Plan Agreement, Financial Disclosure, Privacy Notice, Summary of Accountholder Responsibilities, and Fee Disclosure. I agree to be bound by the terms of these documents. I understand that if I change firms, BD, or RIA affiliations, it is my responsibility to notify Mainstar Trust and the asset companies and to complete the necessary documentation to change my affiliation. I understand that I will not receive activity, cash, statements or transaction reports via hard copy/paper. Electronic access will be denied if the email address is incorrect or invalid.

\_\_\_\_\_ **Authorized Representative Signature**

\_\_\_\_\_ **Date**

**SIGNATURE**

I acknowledge that I have chosen my Representative and that said Representative is not an agent of Mainstar Trust. I understand that any action taken by my Representative or me is subject to the terms and conditions of this Third Party Authorization and the other agreements that I have with Mainstar Trust as amended from time to time, including those on page 2 of this Third Party Authorization.

I hereby assign the individual named above as my Representative for the following account(s).

\_\_\_\_\_ **Account Number**

\_\_\_\_\_ **Account Holder Name (printed)**

\_\_\_\_\_ **Account Holder Signature**

\_\_\_\_\_ **Date**

## TRADING AUTHORIZATION

The account holder may designate a Representative in a form acceptable to Mainstar Trust. Said Representative may be a registered representative of a broker/dealer organization, a financial advisor or other person as may be acceptable to the account holder. The Representative shall be the account holder's authorized agent and is not an agent of Mainstar Trust. Mainstar Trust shall construe any and all investment directions given by the Representative as having been authorized by the account holder. The trading authorization terminates upon the account holder's death or upon his/her written notice to Mainstar Trust and is not transferable without the account holder's written consent. The account holder may appoint and/or remove a Representative by written notice to Mainstar Trust provided that the account holder's removal of the Representative shall not have the effect of canceling any notice, instruction, direction, or approval received by Mainstar Trust prior to such notice.

## DIRECTION OF INVESTMENT

The account holder acknowledges that it is his/her sole responsibility to direct the investment of his/her account and that Mainstar Trust has no responsibility or involvement in evaluating or selecting any assets or investments, and shall have no liability for any loss, damage, tax (including a prohibited transaction tax or plan disqualification tax), or claim (including tort or fraud) that may result from or be associated with any transactions directed by the account holder or his/her Representative. The account holder agrees to indemnify and hold Mainstar Trust harmless from and against any and all claims, liabilities, causes of action, losses, and expenses (including, without limitation, any court costs, attorney's fees and other expenses) asserted against or incurred by Mainstar Trust as a result of, or in any way relating to, any action requested or directed by the account holder or his/her Representative.

The account holder acknowledges that Mainstar Trust is under no obligation to determine what actions or documentation may be necessary or appropriate with respect to any transaction requested by the account holder or his/her Representative, and that Mainstar Trust need only obtain or release the cash or documents specified by the account holder or his/her Representative in the respective purchase and/or sale authorization. Mainstar Trust has no duty to confirm or ascertain that any document or instrument named by the account holder or his/her Representative in a purchase or sale authorization is genuine or authentic or that it has been properly or correctly executed or entered into by any purported party thereto. Mainstar Trust may condition any action it may agree to undertake upon its receipt from the account holder, in form satisfactory to it, of written instruction to undertake such action, together with such further agreement or undertaking of indemnification from the account holder Mainstar Trust may reasonably request.

Except to the extent, if any, required by applicable law, Mainstar Trust has no duty or obligation to monitor or make the account holder or his/her Representative aware of the receipt or non-receipt of any documents or other confirmation of purchase or sale of any asset or the receipt or non-receipt of any funds payable to the Account (e.g., dividends, interest, or other distributions) or to provide any other information or documentation (other than pleadings, orders, or official notices arising from any judicial proceeding) that it may receive or become aware of with respect to any assets. Mainstar Trust has no duty to undertake any action with respect to the collection or enforcement of any payments or rights relating to such assets (including, without limitation, any participation in any bankruptcy proceedings, receivership proceedings, foreclosures, or other litigation, or the perfection or enforcement of any lien or other rights with respect to such assets) without receiving prior instruction from the account holder, accompanied by such undertaking of indemnification as Mainstar Trust may request to assure Mainstar Trust that it will be fully reimbursed and protected with respect thereto. Without limitation on the foregoing, Mainstar Trust may however, if it so elects, respond and participate in any such bankruptcy proceeding, receivership proceedings or other litigation to which it or the Account may have been made a party, and in such case the account holder will fully indemnify and protect Mainstar Trust against any action taken by it in good faith. Mainstar Trust is entitled to seek the advice of legal counsel in connection with any matter relating to the Account or any assets, and may in good faith rely and act upon such advice.

## APPLICABLE LAW

The account holder agrees that Kansas law governs any action undertaken by Mainstar Trust, the account holder, and/or his/her Representative and that Kansas law governs the account holder's respective rights and obligations with respect to the account and its assets. Neither this authorization nor any authorization given by the Representative named herein will become effective until a signed copy has been received and accepted by Mainstar Trust in the State of Kansas (the taking of action by Mainstar Trust upon any authorization shall constitute Mainstar Trust's acceptance). The account holder acknowledges and understands that all duties and undertakings of Mainstar Trust will be carried out in the State of Kansas, and agrees that any claims, torts, or disputes that arise in connection with the account must be brought in arbitration as described in the Arbitration of Claims section of the account agreement.