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Brokerage and Custody Services  
Exclusively for Independent Advisors

Member FINRA/ SIPC/ Reg'd MSRB

## Black Diamond Subscription Request

Initial

Monthly Minimum Fee	\$100 (Includes up to 20 accounts)	
Monthly Account Fee	\$5	
Account Set-up Fee (one-time fee per account)	\$5	

Monthly fees are charged in advance. Fees are not pro-rated for partial periods and are not refundable. Fees are subject to increases of CPI+ 4% each calendar year at the sole discretion of SSG. All accounts under the advisor number and new accounts introduced by the advisor to SSG will be included. Historical data is not included. Cost basis and performance data are recorded only from the date of inception of this service for each account. See BlackDiamond for data conversion pricing. Minimum service term: 1 month.

### Agreement, Data Privacy and Non-disclosure

**Data Privacy.** Advisor represents that it has adopted and implemented procedures to safeguard client information, data and records, reasonably designed to: (a) ensure the security and confidentiality of client records and information; (b) protect against threats or hazards to the security or integrity of client records and information; (c) protect against unauthorized use of client records or information that could result in substantial harm or inconvenience to any client; (d) protect against unauthorized disclosure of non-public personal information to unaffiliated third parties; and (e) ensure compliance with federal and state privacy laws or regulations that may be applicable to the access, transfer or storage of client data and information. **Non-disclosure.** All books, records, information, client data, trade secrets, proprietary information, reports, data packages, client lists, marketing plans, pricing formulas, distribution methods, and any technical information such as software, documentation, test results, designs, processes, specifications, instructions, know-how, or formulas, pertaining to the business of either party that are exchanged, sent or received in connection with the services provided by SSG shall be kept confidential and shall not be voluntarily disclosed to any other person, except (a) if such information is already publicly available; (b) as may be required solely for the purpose of carrying out a party's duties and responsibilities to the other party; (c) as required by order or demand of a court or other governmental or regulatory body or as required by law; (d) as may be required for a party's attorneys, accountants, regulatory examiners or insurers for legitimate business purposes; or (e) with the express prior written permission of the other party. **Termination.** Services will automatically renew each month unless terminated in writing by notice to SSG no less than 15 days prior to the end of the month.

**Agreement.** The advisory firm named herein ("advisor") has opened a SSG Master Account, has executed the Master Account Agreement, and wishes to subscribe to and use the services indicated. Advisor is responsible for making any disclosures required to clients, regulators or other interested parties regarding Advisor's use of this service. Advisor is responsible for oversight, review, approval, and maintenance of all calculations and reports produced. Advisor is responsible for overseeing the quality of the data and the accounting in the service. Advisor acknowledges that SSG does not warrant, endorse or validate the program or services provided by BlackDiamond. Advisor agrees to indemnify and hold harmless SSG, its agents, officers, directors and employees for the services provided. Advisor agrees to pay fees to SSG according to the prevailing fee schedule which is subject to change upon written notice. **Advisor will maintain a cash or money fund balance in the Master Account of at least \$1000 or sufficient to cover fees due, whichever is greater. Advisor agrees to pay interest charges and a collection fee of \$35 if cash is not available to pay fees due when invoiced.**

Advisory Firm Name \_\_\_\_\_ Advisor ID # \_\_\_\_\_

SSG Master Account # \_\_\_\_\_ Tel. # \_\_\_\_\_

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Date