



Member FINRA/ SIPC/ Reg'd MSRB

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Forced Monthly Account Statements

Account statements are produced at **month-end** for accounts which meet any of the following criteria: 1) any securities settlement (excluding dividend reinvestments in securities or money fund sweep accounts); 2) any short position; 3) any low-priced stock position priced less than \$5.00 per share; 4) any option trade or position; 5) a fully paid lending transaction or position; 6) any open order.

Account statements are produced at **quarter-end** for all accounts which have any securities position, balance or transaction in the quarter.

If you have accounts which do not meet the month-end statement production criteria, but you still wish to have statements produced, we can set up the process to force the statement production for such inactive accounts. You can request forced statements for all of your accounts that have no activity at the advisor-level or at the individual account level. The statement production fee is currently \$2.50 for each forced monthly account statement and is subject to change upon notice. The forced statement fee is charged only for accounts that do not already meet the statement generating criteria above. The forced statement fee does not include any paper delivery fees.

Set up Forced Monthly Statements

Advisor Level: All accounts under Advisor IP number _____

Individual Account Level: Indicate account number(s) _____

Charge fees to: **Client Account** **Advisor's Master Account #** _____
Default method is to charge client account.

Agreement. The advisory firm named herein has opened a SSG Master Account, has executed the Master Account Agreement, and wishes to use the Forced Monthly Statement service. The advisor is responsible for oversight, review, and approval of all services. Advisor agrees to indemnify and hold harmless SSG, its agents, officers, directors and employees for the services provided. Fees will be charge to client account unless Advisor specifies that Advisor's Master Account is to pay the charges. 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 sufficient to cover fees due. Advisor agrees to pay interest charges and collection fee of \$35 minimum if cash is not available to pay fees when charged.

Advisory Firm Name _____ Advisor ID # _____

SSG Master Account # _____

Authorized Signature

Title

Print Name

Date