

Advisor Code _____

** Denotes Required Field*

1 ADVISOR INFORMATION

*Advisor Firm Name: _____

| | |
|--------------------------------------|------------------------------------|
| *Advisor Error Account Number: _____ | *Advisor Submitting Request: _____ |
| *Advisor Phone Number: _____ | *Advisor Email Address: _____ |

2 TRADE CORRECTION SUMMARY

*Pursuant to FINRA Rule 4515, in the space provided below please provide a summary of the facts essential to the requested trade correction. Please be advised that the information provided is subject to principal review and approval prior to the acceptance of the correction request.

3 TRADE DETAILS & INSTRUCTIONS

Check here if you need to: Cancel Trade(s) **Place as-of trade(s) Move trade(s) to account _____ Other

Please list the trade details. For additional trades, please attach a spreadsheet in the same format listed below or you may submit more than one form.

| Account # | Buy or Sell | Symbol / CUSIP | Description | Date | **As-of Date | Share QTY | Price | Amount |
|-----------|-------------|----------------|-------------|------|--------------|-----------|-------|--------|
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Additional Detailed Instructions

4 ADDITIONAL CORRECTIVE DETAILS

*Covering Trade Needed? Yes No, covering trade was placed in account _____ .
If a covering equity/ option trade is needed, please contact the Institutional Trade Desk immediately at 800-400-6288, option 1.

*Are there any dividends that require correction? No Yes, date(s) _____ .

For Mutual Funds corrections:
Transaction Fee: Included Added N/A Dividends: Reinvest Cash Capital Gains: Reinvest Cash

5 TD AMERITRADE ADVISOR ERROR ACCOUNT POLICY

Advisors are responsible for reimbursing Clients for all losses due to trade errors made by Advisor in Client accounts. Advisors are not entitled to retain "net gains" from trade corrections. "Net gains" are defined as positive error account balances resulting from trade corrections. TD Ameritrade will automatically sweep any Advisor error account credit balances to a designated TD Ameritrade error account each business day. TD Ameritrade will then donate the balances swept to the TD Ameritrade error account to charity.

TD Ameritrade has no financial responsibility, other responsibility, or liability to Clients for Advisor's trade errors.

I have read and understand TD Ameritrade's Advisor Error Account policy.
 I have policies, procedures, disclosures, or agreements that stipulate I may donate gains to a 501(c)(3) charity of my choice.

Advisor's Signature: _____ *Date: _____



IMPORTANT INFORMATION

- Complete Sections 1-5 of the attached Advisor trade correction Request Form. You may include more than one account number and correction request type on one form.
- **Section 1 - Advisor Information** - Please provide contact information of the Advisor submitting the trade correction request. A phone number & E-mail are required.
 - **Advisor Error Account** - Advisors are responsible for reimbursing clients for all losses due to trade errors made by the advisor in client accounts. The Advisor Error Account is used to settle the trade correction. If you do not have an error account, please attach your firm's W9 in order for us to establish one for you.
- **Section 2 - Trade Correction Summary** - Please provide a summary of the essential facts. Be sure to identify and explain what caused the error.
- **Section 3 - Trade Details & Instructions** - Complete the table listing the trade(s) details and select how the trade is to be corrected.
 - For as-of trades, complete the "As-of-Date" column.
 - **Additional Detailed Instructions** - Use this space to provide a detailed explanation of how to correct the trade(s)
- **Section 4 - Additional Corrective Details** - Complete section 4 for additional corrective details.
 - **Covering Trade** - A covering trade is the offsetting trade(s) placed to flatten any trades and / or positions moved to the advisor error account. Equity and options cover trades can be placed ahead of time to close the liability of further market movement. Please call us immediately if your trade correction request requires a cover trade.
 - For Mutual Fund as-of corrections, if applicable select how you would like the transaction fees and Dividends/Capital gains handled.
- **Section 5 - TD Ameritrade Advisor Error Account Policy** - Please read and sign section 5 for the TD Ameritrade Advisor Error Account Policy. Be sure to check the box that you have read and understand this policy.

Please submit completed form -

For Traditional Trading:

E-mail: TDAITradeDesk@tdameritrade.com

Fax: 858-678-5182 (San Diego) or 817-490-2059 (Fort Worth)

For Fixed Income:

E-mail: InstitutionalFixedIncome@tdameritrade.com

Fax: 858-678-5183

For questions please contact the Institutional Trade desk at 800-400-6288 option 1

Investment Products: Not FDIC Insured * No Bank Guarantee * May Lose Value