

# SMART STATION USER REQUEST FORM



BRANCH MANAGER NAME:

REP#

## 1. Right to Access and Use

First Clearing<sup>1</sup> grants CCS and authorized registered representatives and associated persons (each an “End User” and collectively “End Users”) the right to access and use the First Clearing<sup>1</sup> Platform and Applications (collectively referred to as “SmartStation®”) solely for business purposes in connection with services provided through Coordinated Capital Securities, Inc. (CCS).

### 1.1 Passwords and ID’s

Authorization to use to *SmartStation* by End-Users is enabled only after applying for usage through CCS. Access to SmartStation is enabled only by passwords and unique identification numbers (“ID’s and Passwords”). ID’s and Passwords may not be transferred among End-Users. Branch Managers are responsible for identifying and disclosing to CCS the identity of each End-User in their Branch. Upon the termination of an End-User’s employment with Branch or termination of registration with CCS, or any other relationship with CCS, the End-User’s password will be disabled.

### 1.2 Password Protection

Branch Managers and End-Users acknowledge that the protection of Passwords and ID’s is an integral part of the security and data protection processes and procedures of *SmartStation* and of CCS Policies and Procedures and Reg S-P Policies. The Branch Manager is responsible for implementing functional procedures and processes as necessary to require End-User branch personnel to protect their Passwords and ID’s. At a minimum, the Branch Manager shall inform End-User branch personnel that they should maintain their ID and Password in confidence. CCS shall not be responsible for any use of data, information or services obtained through *SmartStation* using invalid passwords and ID’s.

### 1.3 Security

Branch Manager shall maintain and supervise End-User branch personnel’s proper access controls to *SmartStation*, including safeguarding the integrity and validity of Passwords and ID’s and establish safeguards to prevent unauthorized access to *SmartStation*. End-User branch personnel are responsible for any consequences that result from the failure to secure access to *SmartStation*. End-Users must promptly inform CCS of any unauthorized use of SmartStation of which it is aware and the steps being taken to terminate such unauthorized use or breach.

## 2. Transmission of Orders

Branch Manager agrees that it maintains and complies with the following written control and supervisory procedures with respect to the transmission of orders:

2.1 Branch Manager shall supply to CCS a list of End-User branch personnel authorized to access the trade entry screens and enter orders on *SmartStation* and End-User branch personnel authorized to call in trades to the CCS trading desk. Use of the SmartStation order entry system is limited only to End-User branch personnel disclosed to CCS. Branch Manager must provide CCS with prompt notice of any changes in End-User branch personnel. By signing below, Branch Manager is confirming that access to *SmartStation* at the Branch or remotely, is supervised and reviewed on a regular basis.

2.2 Branch Manager shall ensure that at trade entry, the authorized End-User branch personnel will enter their initials on the trade entry screen in the “entered by” box. The authorized End-User branch personnel entering the order will enter the Registered Rep’s initials that accepted the trade in the “accepted by” box on the trade entry screen. Trades executed by unauthorized persons will be canceled and any losses charged to the Branch Manager and/or the Registered Rep of Record on the account.

<sup>1</sup> First Clearing is a trade name used by Wells Fargo Clearing Services, LLC, Member SIPC, a registered broker-dealer and non-bank affiliate of Wells Fargo & Company.

**3. Order Limits**

CCS must maintain established limits to prevent orders exceeding pre-set credit and order size parameters from being transmitted for execution. The following trade limits are in effect for all trades entered or submitted to CCS for execution.

Equity: 25,000 shares/\$400,000

Options: 50 contracts/\$125,000

Bonds: \$100,000

Orders in excess of these limits must be pre-approved by CCS Trading. CCS Trading will then request FCC to increase the limits and the trade will be able to be entered by the RR upon approval by FCC. Please note that these requests are processed on a trade by trade basis.

**ATTESTATION:**

The following individuals employed or associated with the Branch are authorized End-User branch personnel with access to *SmartStation* under this agreement.

By signing below, the Branch Office Manager and Authorized End-User branch personnel hereby attest to their understanding of written control and supervisory procedures contained herein.

***Make additional copies of this page as necessary***

Name:	Order Entry Initials:	Role (check all that apply): <input type="checkbox"/> Branch Manager <input type="checkbox"/> Authorized End-User branch personnel	Signature:	Date:
Name:	Order Entry Initials:	Role (check all that apply): <input type="checkbox"/> Branch Manager <input type="checkbox"/> Authorized End-User branch personnel	Signature:	Date:
Name:	Order Entry Initials:	Role (check all that apply): <input type="checkbox"/> Branch Manager <input type="checkbox"/> Authorized End-User branch personnel	Signature:	Date:
Name:	Order Entry Initials:	Role (check all that apply): <input type="checkbox"/> Branch Manager <input type="checkbox"/> Authorized End-User branch personnel	Signature:	Date:
Name:	Order Entry Initials:	Role (check all that apply): <input type="checkbox"/> Branch Manager <input type="checkbox"/> Authorized End-User branch personnel	Signature:	Date:

***Return to the CCS Trading Department – Robin Urso, Trading Manager***

COMPLIANCE DEPARTMENT APPROVAL	Date	Approved at CCS By
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