



# INSURED DEPOSIT SWEEP ACCOUNT FINANCIAL INSTITUTION EXEMPTION FORM

If you wish to exclude one or more of the financial institutions listed below, you may do so by placing a checkmark next to the financial institution name, completing the information at the bottom and returning the form to Cetera Investment Services LLC.

Account Number

## PARTICIPATING FINANCIAL INSTITUTION LIST

- |  |  |
|--|--|
| <input type="checkbox"/> Bank United, Miami Lakes, FL          | <input type="checkbox"/> Sandy Spring Bank, Olney, MD            |
| <input type="checkbox"/> Citibank, New York, NY                | <input type="checkbox"/> Seaside National Bank, Orlando, FL      |
| <input type="checkbox"/> Continental Bank, Salt Lake City, UT  | <input type="checkbox"/> State Bank and Trust, Defiance, OH      |
| <input type="checkbox"/> CTBC Bank Corp (USA), Los Angeles, CA | <input type="checkbox"/> State Street Bank and Trust, Boston, MA |
| <input type="checkbox"/> Falcon National Bank, Foley, MN       | <input type="checkbox"/> TriState Capital Bank, Pittsburgh, PA   |
| <input type="checkbox"/> First Guaranty Bank, Hammond, LA      | <input type="checkbox"/> Truist Bank, Lumberton, NC              |
| <input type="checkbox"/> Independent Bank, McKinney, TX        | <input type="checkbox"/> Wells Fargo Bank, NA, Sioux Falls, SD   |
| <input type="checkbox"/> Pinnacle Bank, Nashville, TN          | <input type="checkbox"/> Western Alliance Bank, Phoenix, AZ      |

Client Signature \_\_\_\_\_ Date \_\_\_\_\_

Joint Client Signature \_\_\_\_\_ Date \_\_\_\_\_

Additional Client Signature \_\_\_\_\_ Date \_\_\_\_\_

Additional Client Signature \_\_\_\_\_ Date \_\_\_\_\_

Print Financial Professional Name \_\_\_\_\_

**This form is required *only* if you choose to eliminate a financial institution from the Insured Deposit Sweep Account. Please submit form via field imaging/scanning or fax to 877.338.9156.**

Deposits held in the Insured Deposit Sweep Account are not covered by SIPC.

Securities and insurance products are offered through Cetera Investment Services LLC (doing insurance business in CA as CFG STC Insurance Agency LLC), member FINRA/SIPC. Advisory services are offered through Cetera Investment Advisers LLC. Neither firm is affiliated with the financial institution where investment services are offered. Advisory services are only offered by Investment Adviser Representatives. Investments are: \*Not FDIC/NCUSIF insured \*May lose value \*Not financial institution guaranteed \*Not a deposit \*Not insured by any federal government agency.

