

# Trading Authorization/Power of Attorney and Indemnification Form: Domestic

**This document constitutes a power of attorney, designed to give a designated person either limited trading authorization or full trading authorization over a brokerage account as further set forth herein.**

**Under New York law, the following disclosure is required to be included, verbatim, in every Power of Attorney.**

**CAUTION TO THE PRINCIPAL:** Your Power of Attorney is an important document. As the “principal,” you give the person whom you choose (your “agent”) authority to spend your money and sell or dispose of your property during your lifetime without telling you. You do not lose your authority to act even though you have given your agent similar authority. When your agent exercises this authority, he or she must act according to any instructions you have provided or, where there are no specific instructions, in your best interest. “Important Information for the Agent” at the end of this document describes your agent’s responsibilities. Your agent can act on your behalf only after signing the Power of Attorney before a notary public.

You can request information from your agent at any time. If you are revoking a prior Power of Attorney by executing this Power of Attorney, you should provide written notice of the revocation to your prior agent(s) and to the financial institutions where your accounts are located. You can revoke or terminate your Power of Attorney at any time for any reason as long as you are of sound mind. If you are no longer of sound mind, a court can remove an agent for acting improperly. Your agent cannot make health care decisions for you. You may execute a “Health Care Proxy” to do this. The law governing Powers of Attorney is contained in the New York General Obligations Law, Article 5, Title 15. This law is available at a law library, or online through the New York State Senate or Assembly websites, [www.senate.state.ny.us](http://www.senate.state.ny.us) or [www.assembly.state.ny.us](http://www.assembly.state.ny.us).

If there is anything about this document that you do not understand, you should ask a lawyer of your own choosing to explain it to you.

## STEP 1. ACCOUNT INFORMATION

Financial Organization Name (hereafter “Financial Organization”)	
Account Title	Account Number       —

## STEP 2. AUTHORIZATION

The undersigned hereby authorizes the following individual, \_\_\_\_\_, (whose information appears below), as his or her authorized agent to buy, sell (including short sales) and trade in stocks, bonds, options contracts and any other securities and/or commodities and/or contracts relating to the same on margin or otherwise in accordance with the terms and conditions of Financial Organization for his or her account and risk and in the undersigned’s name or number on Financial Organization’s books. In addition, the undersigned hereby specifically authorizes the agent to make transactions, which would result in uncovered short positions in options contracts or in the uncovering of any existing short position in options contracts. The undersigned hereby agrees to indemnify and hold Financial Organization and its clearing firm, Pershing LLC, harmless from, and to pay Financial Organization and/or Pershing LLC promptly on demand of, any and all losses arising therefrom or debit balance due thereon. This Trading Authorization/Power of Attorney and Indemnification shall not terminate in the event of the disability or incapacity of the undersigned.





**STEP 4. INDEMNIFICATION**

The undersigned hereby ratifies and confirms any and all transactions with Financial Organization or Pershing LLC heretofore or hereafter made by the aforesaid agent for the undersigned's account. This Trading Authorization/Power of Attorney and Indemnification is also a continuing one and shall remain in full force and effect until revoked by the undersigned by a written notice addressed to Financial Organization and delivered to Financial Organization's office at its address, but such revocation shall not affect any liability in any way resulting from transactions initiated prior to such revocation. This Trading Authorization/Power of Attorney and Indemnification shall inure to the benefit of Financial Organization and Pershing LLC and of any successor firm or firms irrespective of any change or changes at any time in the personnel thereof for any cause whatsoever, and of the assigns of Financial Organization, Pershing LLC or any successor firm.

**STEP 5. SIGNATURE OF PRINCIPALS**

**Account Owner/Principal**

Print Name	Date     -     -
Signature <b>X</b>	Please indicate the town/city and country where this document was signed

**SIGNATURES MUST BE NOTARIZED.**

**Joint Account Owner/Principal (if applicable)**

Print Name	Date     -     -
Signature <b>X</b>	Please indicate the town/city and country where this document was signed

**Notarization for Account Owner/Principal**

State of \_\_\_\_\_  
 County of \_\_\_\_\_  
 I certify that on this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_, personally known to me or proved to me on the basis of satisfactory evidence to be the individual(s) whose name(s) is (are) subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their capacity(ies), and that, by his/her/their signature(s) on the instrument, the individual(s), or the person upon behalf of whom the individual(s) acted, executed the instrument.

Notary Public Signature \_\_\_\_\_  
 My Commission Expires \_\_\_\_\_ [SEAL]

**Notarization for Joint Account Owner/Principal**

State of \_\_\_\_\_  
 County of \_\_\_\_\_  
 I certify that on this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_, personally known to me or proved to me on the basis of satisfactory evidence to be the individual(s) whose name(s) is (are) subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their capacity(ies), and that, by his/her/their signature(s) on the instrument, the individual(s), or the person upon behalf of whom the individual(s) acted, executed the instrument.

Notary Public Signature \_\_\_\_\_  
 My Commission Expires \_\_\_\_\_ [SEAL]





**STEP 8. AUTHORIZED AGENT'S SIGNATURE AND ACKNOWLEDGMENT OF APPOINTMENT**

It is not required that the principal and the agent(s) sign at the same time, nor that multiple agents sign at the same time. I/we have read the foregoing Power of Attorney. I am/we are the person(s) identified therein as agent(s) for the principal named therein. I/we acknowledge my/our legal responsibilities to the principal.

Agent's Name		Date	
Signature		-     -	
Address			
City		State	Zip/Postal Code
Province/County/Subdivision	Country	Social Security/Tax ID Number	

**SIGNATURE(S) MUST BE NOTARIZED.**

Co-Agent's Name		Date	
Signature		-     -	
Address			
City		State	Zip/Postal Code
Province/County/Subdivision	Country	Social Security/Tax ID Number	

**Notarization for Agent**

State of \_\_\_\_\_

County of \_\_\_\_\_

I certify that on this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_, personally known to me or proved to me on the basis of satisfactory evidence to be the individual(s) whose name(s) is (are) subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their capacity(ies), and that, by his/her/their signature(s) on the instrument, the individual(s), or the person upon behalf of whom the individual(s) acted, executed the instrument.

Notary Public Signature \_\_\_\_\_

My Commission Expires \_\_\_\_\_

[ SEAL ]

**Notarization for Co-Agent**

State of \_\_\_\_\_

County of \_\_\_\_\_

I certify that on this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_, personally known to me or proved to me on the basis of satisfactory evidence to be the individual(s) whose name(s) is (are) subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their capacity(ies), and that, by his/her/their signature(s) on the instrument, the individual(s), or the person upon behalf of whom the individual(s) acted, executed the instrument.

Notary Public Signature \_\_\_\_\_

My Commission Expires \_\_\_\_\_

[ SEAL ]

Mail completed forms to: York Securities, 160 Broadway, East Bldg Floor 7, New York NY 10038.