



# WEALTH STRATEGIES

RETIREMENT ASSET MANAGEMENT

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## Trusted Contact Authorization and/or Third Party Information Sharing

Client \_\_\_\_\_ Client SS# \_\_\_\_\_

Name \_\_\_\_\_ Relationship to Client \_\_\_\_\_

Address \_\_\_\_\_

Phone \_\_\_\_\_ Email \_\_\_\_\_

**Trusted Contact** and/or  **Third Party Authorization**

Name \_\_\_\_\_ Relationship to Client \_\_\_\_\_

Address \_\_\_\_\_

Phone \_\_\_\_\_ Email \_\_\_\_\_

**Trusted Contact** and/or  **Third Party Authorization**

**Trusted Contact:** The Financial Industry Regulatory Authority (FINRA) enacted rules in 2018 in an effort to help protect senior investors and other vulnerable adults. To that end, we are now required to ask clients if they would like to provide a “Trusted Contact” Person that we may contact to discuss your account if we cannot reach you or suspect that you may be the subject of abuse, fraud or exploitation.

The Trusted Contact has no authority to do anything in the client’s account: they cannot make any changes or give instructions to transact any business or request withdrawal or distributions from the account. They may simply be consulted in cases where the firm and the Financial Professional are having difficulty communicating with the client, or believe the client may be a victim of fraud or other types of exploitation, or similar circumstances.

**Third Party Authorization:** You authorize your Financial Advisor to share account information as needed with your family member(s), accountant/tax advisor, attorney, or other professional, as listed above.

This release applies to all accounts or contracts associated with the client SS# provided above.

This authorization is made with the understanding that disclosure of my financial information by my Financial Advisor, Osaic Wealth, Inc. and its parent companies, employees, agents, and representatives (Osaic Wealth) to the person or entity identified above will involve disclosure of my nonpublic personal information otherwise protected from disclosure by federal and state privacy laws. I understand that this authorization will remain in effect until it is specifically revoked by me in writing.

The Authorized Third Party has no authority to do anything in the client’s account: they cannot make any changes or give instructions to transact any business or request withdrawal or distributions from the account.

Client/Authorized Signer \_\_\_\_\_ Date \_\_\_\_\_

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