



Account Number _____

Rep ID _____ Alternate Branch _____

**CERTIFICATION OF INVESTMENT POWERS
TRUST ACCOUNTS AND QUALIFIED PLAN ACCOUNTS**

CLIENT INFORMATION

Name and Address

INSTRUCTIONS

- Trustees should carefully review the Trust Agreement/Plan documents and any related documents and, if appropriate, consult with legal counsel before completing this form.
- To make a change to information previously provided on a Trustee Certification and Agreement, e.g. to add a Trustee, to reflect material changes to the Trust Agreement, or to change the Investment Powers and Restrictions, this form must be completed in its entirety.
- **All Trustees.** If the Trust is a grantor revocable Trust, the grantors must execute this form.

CLIENT CERTIFICATION

In consideration of RBC Wealth Management, a division of RBC Capital Markets, LLC (“RBC WM”), Member NYSE/FINRA/SIPC, agreeing to open and maintain an account for the trust, pension, qualified or profit-sharing plan named below (the “Trust”), I or we, the undersigned Trustee or Trustees, individually and on behalf of the Trust and its beneficiaries, heirs, successors and assigns (hereinafter “we”) certify that the Trust or Plan Agreement (the “Trust Agreement”) to which this certification applies is in full force and effect and the following information is true and complete:

1. Trust/Plan Information.

- a. Date of the Trust/Plan is: _____
- b. Name of each Grantor/Settlor of the Trust or the Plan Sponsor: _____
- c. The date of the latest Trust/Plan amendment is: _____

2. Distributions, Investments and RBC Express Credit (margin) or Other Credit Transactions. We certify that we have full authority under the Trust Agreement and applicable law to engage in any transaction or other order that will be submitted to RBC WM, including the following transactions:

- a. Make distributions/transfers to or from an account for the Trust.
- b. Enter into transactions to trade, buy, sell, convey, pledge, mortgage, lease, transfer title or otherwise acquire or dispose of any interest in real or personal property (including, without limitation, *stocks, bonds, notes, warrants and other securities, and annuities, futures, currencies and commodities*).
- c. Engage in the following borrowing and other credit transactions (check all that apply):
 - RBC Express Credit (margin) transactions, including the granting of a security interest in favor of RBC WM in the assets of the account.
 - Pledge or subject to a security interest in favor of RBC WM or third parties any of the property of the Trust as security for any liability of the Trust or third parties.
 - Option transactions: (check all that apply)
 - ___ Covered Call Writing/Protective Put Purchasing
 - ___ Cash Backed Put Writing
 - ___ Purchasing Puts/Calls
 - ___ Spreads
 - ___ Naked Call/Put Writing & Writing Combinations/Straddles
 - ___ Other _____

3. Single Trustee’s Ability to Instruct RBC WM. We represent, warrant and agree that RBC WM is authorized to follow the instructions of any one trustee for all purposes regarding the Trust’s accounts, including, but not limited to, taking actions set forth in Item No. 2, executing any documents or agreements on behalf of the Trust, and agreeing to arbitrate all disputes concerning the Trust’s accounts. If the agreement of more than one trustee is required to take such actions under the terms of the trust instrument or applicable law, the Trustees agree that it is their responsibility to come to such agreement among themselves before giving any such instructions to RBC WM and that RBC WM may conclusively presume that any one trustee who provides instructions to RBC WM has obtained such agreement.



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CLIENT CERTIFICATION CONTINUED

4. We, the Trustees, jointly and severally indemnify RBC WM and hold RBC WM harmless from any liability for effecting transactions of the type specified above, if RBC WM acts pursuant to instructions given by any of the authorized individuals listed under Item No. 7.

5. We represent and warrant that the Trust has not been revoked. We agree to inform RBC WM in writing of any amendment to the Trust or the Plan, any changes in the composition of the Trustees, or any other event which could materially alter the certifications made above. In the event of the death, incapacity, resignation or removal of all of the Trustees named herein, the person(s) identified below is authorized to act as successor Trustee(s):

Name: _____ SSN or EIN: _____

Name: _____ SSN or EIN: _____

6. This Certification of Investment Powers shall not be deemed to be, or construed as, an amendment to, or modification to, any agreement(s) between RBC WM and the account owner(s) named in the Client Information Section.

7. **Trustees.** We hereby certify that the undersigned are all of the Trustees and that the statements contained in this Certification of Investment Powers are true and correct and there are no other provisions in the Trust or Plan document or amendments to it that limit the powers of the Trustees to sell, convey, pledge, mortgage, lease, or transfer title to or interest in real or personal property including, without limitation, *stocks, bonds, notes, warrants and other securities*, as indicated under Item No. 2b and c.

8. **Delegation to Participants (Only for Participant-Directed Qualified Plan Retirement Accounts).** If this is a participant-directed qualified plan retirement account, we delegate the authority to enter into transactions described in 2(b) and (c) to the participant for the applicable participant plan account and RBC WM is entitled to rely on all instructions from the applicable participant with respect to such participant's account. For the avoidance of doubt, the delegation described in this Section 8 does not apply to any trust or plan that is not a participant-directed qualified retirement plan.

SIGNATURES

| | | | |
|---------------------------------|------|---------------------------------|------|
| Trustee Signature | Date | Trustee Signature | Date |
| Print Name from Signature Above | | Print Name from Signature Above | |
| Trustee Signature | Date | Trustee Signature | Date |
| Print Name from Signature Above | | Print Name from Signature Above | |

(All trustees with investment authority must sign. Attach extra page if necessary.)

Financial Advisor Signature _____ Date _____

Approved by: Branch Director/Assistant Complex Manager _____ Date _____

Please do not return this completed form to RBC Wealth Management via email as we cannot ensure the security of in-bound electronic messages. Documents containing confidential information should be delivered to RBC Wealth Management via facsimile or U.S. mail.