

**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 Capital Markets, LLC ("RBC CM") agreeing to open and maintain an account for the trust, pension, or profit-sharing plan named below, I or we, the undersigned Trustee or Trustees, individually and on behalf of the Trust/Plan and its beneficiaries, heirs, successors and assigns (hereinafter "we") certify that the Trust or Plan 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:

- a. Make distributions/transfers from the account.
- 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*), **EXCEPT** as limited by the following: \_\_\_\_\_
- 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 CM in the assets of the account.
  - Pledge or subject to a security interest in favor of RBC CM 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 Bind the Trust.** We represent and warrant that:

- a. Any one of the Trustees who signs below may independently exercise any of the Trust's powers, including the power to take the actions set forth in Item No. 2.
- b. Any one Trustee may individually act on behalf of and bind the Trust, as well as execute any documents on behalf of the Trust that you require, including an agreement to arbitrate all disputes concerning the Trust accounts.

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

Account Number \_\_\_\_\_

Rep ID \_\_\_\_\_ Alternate Branch \_\_\_\_\_

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**CLIENT CERTIFICATION CONTINUED**

5. We represent and warrant that the Trust has not been revoked. We agree to inform RBC CM 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 CM 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.

**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	
<b>(All trustees with investment authority must sign. Attach extra page if necessary.)</b>			
Financial Advisor Signature	Date	Accepted By: Firm Principal Signature	Date