



DOCUMENT DELIVERY FORM

R.J. O'Brien & Associates, LLC ("RJO"), may deliver documents to you either electronically or on paper. If you choose electronic delivery, RJO will use your email address to send you Documents or notify you when Documents are available online. "Documents" include, but are not limited to, the following:

- Daily Confirmations, P&S Statements, Monthly Statements of Activity, certain tax statements, including form 1099, and other disclosures or notices that RJO is legally required to provide to you (collectively, "Statements");
- Account applications or forms;
- Updates/decisions related to your application;
- Disclosures, notices and other information related to the opening or maintaining of your account(s), products, and services that may be required by the Electronic Fund Transfer Act, Commodity Exchange Act, or other applicable federal or state laws and regulations;
- Terms and conditions that govern your application;
- Agreements and policies that you may agree to from time to time (e.g., Wire Transfer Agreement, ACH Agreement, etc.), including updates to these agreements or policies;
- Periodic disclosures and notices relating to the maintenance or operation of an account, product, or service including, but not limited to, account information, disclosures, or notices that may be required by the Electronic Fund Transfer Act, Commodity Exchange Act, or other applicable federal or state laws and regulations (e.g., privacy policy, account statement, etc.); and
- Any notice or disclosure regarding an account, product, or service fee, such as a late fee, insufficient funds, stop payment order, wire transfer fee, etc.

When new Statements are available on rjobrien.com, and if you have consented to electronic delivery, RJO will notify you at the email address(es) provided below. This notification will typically include a link to RJO's client portal from which you may access the tax forms or other Statements. The email notification is sent in lieu of sending paper documents via U.S. Mail.

Please select your preference for Document Delivery below.

- I consent to Electronic Document Delivery (see next page) and authorize RJO to provide access to all Documents solely via electronic means. I understand that email alerts regarding Statement availability will be sent to the email address(es) listed below.
- I require RJO to provide all Documents by regular mail. I agree and acknowledge that a fee of \$4.00 will be charged to my/our account for each Statement mailed within the USA or a fee of \$5.00 for each Statement mailed outside the USA. (Note: This fee will also apply to duplicate Statements and will also be charged to my/our account.) I acknowledge that Statements will be mailed to the Mailing Address on the Account Application. I have included, as a separate document entitled "Additional Statement Addresses", the address(es) of the Account Controller and/or Interested Party for any Statements to be delivered by regular mail.

Entity Name, if applicable

Client Email Address (Please Print)

Client Signature

Date

Print Client Name

I authorize RJO to send Statement notifications by email to the following Additional/Interested Party(ies):

Additional/Interested Party Email Address

Additional/Interested Party Email Address

Additional/Interested Party Email Address

Additional/Interested Party Email Address

Additional/Interested Party Email Address

Additional/Interested Party Email Address

DOCUMENT DELIVERY FORM

Consent to Electronic Document Delivery

Please read this consent (the "Form") carefully, print and retain a copy for your reference.

By consenting to Electronic Document Delivery, you (including any joint account holders and co-applicants) acknowledge receipt of this Form, and consent to the electronic delivery of Documents via the Internet. You also agree to promptly review RJO's email notification of Statement availability and log into RJO's client portal to review such Statements. Upon your consent to receive your IRS Form 1099-B Statement ("1099") electronically, RJO will provide you with a notification email with a link to RJO's client portal that your 1099 statement is available to view after logging in. If you do not consent to receive the IRS Form 1099-B statement electronically, a paper copy will be mailed to you. The scope and duration of this consent shall be perpetual and shall apply to all 1099 Statements to be received in the future until your consent is withdrawn or your account(s) is terminated. You acknowledge the risk of failure of electronic delivery systems and agree to not hold RJO liable directly or indirectly for such failure. If you fail to receive the electronic notice of Statement availability on any day after you engage in activity in your account or have knowledge that activity occurred in your account, you agree to notify RJO's Client Services Department by 8:00 a.m. (Central Time) on the business day following the day of such activity.

You also confirm that you meet the Hardware and Software Requirements listed below and are able to access and retain electronically delivered Documents from RJO. This Form applies to all applications, accounts, products, and services which you have now or may have in the future, at RJO. The words "I", "you", and "your" means each account holder, product owner, and/or service user identified on an account, product, or service. Your affirmative consent will be required with respect to any changes in the electronic delivery of IRS Form 1099 statements. If changes are made, RJO will request your continued consent by sending an updated Form directly to you.

Updating Contact Information

It is your responsibility to keep your email address updated so that RJO can communicate with you electronically. If your email address changes, please contact us toll-free at (800) 621-0757 or at www.rjobrien.com to provide us with updated information through which future Documents will be received by you. If you fail to notify RJO of any change in your email address, you agree that RJO may provide Documents to you at the email address maintained in our records. Any Documents RJO sends to you will be deemed to have been provided on the date RJO delivers the email to you. In addition, you agree and acknowledge that for your protection and the protection of RJO, any request to change the email address listed below must be in writing and bear the signature of the undersigned.

This consent shall be effective until revoked in writing, signed by the undersigned, and delivered to R.J. O'Brien at 222 South Riverside Plaza, Suite 1200, Chicago, IL 60606. In addition, you agree and acknowledge that for your protection and the protection of R.J. O'Brien, any request to change the email address listed below must be in writing and bear the signature of the undersigned.

Hardware and Software Requirements

You will need the following computer hardware and software for electronic delivery of Documents:

- A computer with an Internet connection;
- A current web browser that includes 128-bit encryption or higher (e.g., Internet Explorer version 9.0 and above, Mozilla Firefox version 25.0 and above, Google Chrome version 6.0 and above, or Safari version 6.0 and above) with cookies enabled;
- Adobe Acrobat Reader version 9.0 and above to open documents in .pdf format;
- A valid e-mail address; and
- Sufficient storage space to save past Documents or an installed printer to print them.

DOCUMENT DELIVERY FORM

Withdrawing Consent for Electronic 1099 Statements

You may withdraw your consent to receiving your 1099 Statement electronically at any time by furnishing the withdrawal in writing (electronically or on paper) to:

R.J. O'Brien & Associates, LLC.
Attn: Client Services
222 S. Riverside Plaza, Suite 1200
Chicago, IL 60606

OR

You may email your request to clientservices@rjobrien.com. Confirmation of the withdrawal will be in writing, and will be emailed to you unless you request confirmation of withdrawal by mail.

Copies of 1099-B Statements

You may request a paper copy of any previous IRS Form 1099-B Statement at any time. If you wish to obtain a paper copy of any previous or current 1099 Statement, you may contact us at Toll Free (800) 621-0757 or email Client Services at clientservices@rjobrien.com. If you request paper copies by mail, you understand and agree that RJO will charge you a Records Request Fee of \$2.00 domestically and \$3.00 internationally for each 1099 Statement.

Termination

You will continue to receive 1099 Statement notifications to your email that your 1099 Statement is available through our client portal until the earliest of (a) termination of your account(s) at RJO; or, (b) withdrawing consent to receive 1099 Statements electronically.