

SEC Rule 17a-4 requires Equity Services, Inc. ("ESI") to maintain all communications relating to its broker-dealer business for not less than three years. SEC Rule 204-2 requires ESI to maintain certain written communications relating to its investment advisory business for not less than five years.

The undersigned Registered Representative conducts a business activity outside of ESI's business ("OBA"), which may include, without limitation, providing services as a CPA, EA or attorney\*. Registered Representative has informed ESI that the OBA is subject to certain restrictions regarding the sharing of OBA client information with ESI. Therefore, Registered Representative desires to communicate through an e-mail address solely for the purpose of conducting the OBA, which such communications will not be maintained by ESI ("OBA e-mail address").

Registered Representative agrees, represents and warrants the following:

- Registered Representative shall send and receive e-mail communications relating in any way to ESI's business solely through an e-mail address approved by ESI for that purpose ("ESI e-mail address").
- Registered Representative shall reference only ESI's e-mail address in any materials (e.g., business cards, stationery, websites, sales materials) related in any way to ESI's business.
- Registered Representative shall use separate materials (e.g., business cards, stationery, websites, sales materials) for the OBA and ESI's business. Registered Representative shall not reference ESI or its business in any OBA materials.
- Registered Representative shall immediately forward to the ESI e-mail address any communication that relates to ESI's business received at the OBA e-mail address or any other e-mail address in error.
- Registered Representative shall maintain or cause to be maintained all OBA e-mail communications for five years, if Registered Representative is an investment advisor Registered Representative, or three years, if Registered Representative is not an investment advisor Registered Representative.
- Registered Representative shall allow and facilitate periodic inspection of OBA e-mail by ESI for the purpose of ensuring that the terms of this Certification are being met. Registered Representative will take all action necessary to ensure that such inspection and the other terms of this Certification are consistent with any agreements, laws, rules or regulations applicable to the OBA.
- Registered Representative indemnifies and holds harmless ESI and its officers, directors and employees against any claim, liability, damage, cost or expense (including reasonable attorneys' fees) relating in any way to the OBA, OBA e-mail address or ESI's inspection of such e-mail communications.

Registered Representative certifies that s/he has read, understands and will comply with terms of this Certification. Registered Representative is aware that a failure to comply with the terms of this Certification could result in disciplinary action by ESI, FINRA, and/or the SEC, including termination.

E-mail Address to be certified: \_\_\_\_\_

**Registered Representative**

Registered Rep Signature:

\_\_\_\_\_

Registered Rep Printed Name

\_\_\_\_\_  
Date (mm/dd/yyyy)

**Supervisor Acknowledgment**

Supervisor Signature:

\_\_\_\_\_

Supervisor Printed Name

\_\_\_\_\_  
Date (mm/dd/yyyy)

\* In New York only this also includes tax preparers.