

DTC Instructions for Scottsdale Capital Advisors

Clearing Firm Name: Specify Penson / North American

For Penson Accounts Send to: Penson DTC # 0234 FBO Scottsdale Capital Advisors,
Further credit to Acc #, Name on Account

For North American Accounts Send to: North American DTC # 0297 FBO Scottsdale
Capital Advisors, Further credit to Acc #, Name on Account

Incoming DTC

Incoming Firm Name

Incoming Firm DTC Number

Incoming Firm Phone Number

Incoming Security

Incoming Quantity

Delivering Owner's Name¹

Delivering Owner's Address

Delivering Owner's Phone Number

Deposit to Account Number

Deposit for Client Name

Reason for DTC

Outgoing DTC²

Outgoing Firm Name

Outgoing Firm DTC Number

Outgoing Firm Phone Number

Outgoing Security

Outgoing Quantity

Accepting Owner's Name

Accepting Owner's Address

Accepting Owner's Phone Number

Accepting Owner's Account Number

Sending Owner's Name

Sending Owner's Account Number

Reason for DTC

Client Signature

Date

Officer's Signature

Date

¹ Current Owner of the security being delivered in or previous owner if already delivered.

² The charge on DTC outgoing transactions are the greater of \$150.00 or 3% of DTC \$ amount.