Understanding securities industry requirements for authorized persons

If you serve as an authorized person for Ameriprise clients, we’re required by industry regulations (FINRA Know Your Customer rules) to gather certain information about you.

**Authorized Persons roles include:**

- Attorneys in Fact – those authorized to view client accounts or transact on behalf of our clients
- Authorized Signors – those who transact on entity (business) accounts
- Trustees – those responsible for trusts

With the introduction of SEC Rule 613, we will be required to report some of this personal data to FINRA, a regulatory body governing the securities industry.

**What this means for you as an authorized person**

Ameriprise must have a record (known as a client ID) in our customer management system that identifies you and the accounts you are authorized to transact on behalf of. This allows:

- Our customer service representatives to validate your credentials and speak to you about the accounts you support when you call us.
- You to register for the secure site at ameriprise.com to use our digital services.

The details gathered include information we’re required to share with FINRA or that helps distinguish you from others in our system, and will include:

- Name, address, social security number, and date of birth
- Whether you work for (or are associated with) a broker/dealer or a regulatory group that oversees our industry. If so, which one.
- If you are in a leadership position (officer/director/policymaker) or own 10% or more of the shares of a publicly traded company.
- Certain details about investment experience, income, etc.

**We value and protect your privacy**

While we are required to collect your personal information, protecting your privacy is a top priority. Please review our privacy notices by visiting ameriprise.com/privacy-security-fraud to understand how we collect, use, share and protect your personal information, and how you may limit usage of this information.

**Steps we take to safeguard your information**

Data security is a top priority to us. We have safeguards in place to help protect your information. These include:

- Using sophisticated prevention and detection techniques to help identify and stop security breaches.
- Providing clients with the option to enroll in 2-Step Verification, which offers a second layer of protection from unauthorized users accessing account information.
- Requiring secure sessions and encryption when information is shared through digital devices.
- Providing secure messaging through the secure site on ameriprise.com.
- Verifying your identity via a multi-factor authentication process, including voice recognition, when calling into our customer service team.

In addition, we offer a variety of additional tools you can use for added security and encourage you to review the information found at ameriprise.com/privacy-security-fraud/protect-yourself.