

THIRD PARTY PAYMENT/JOURNAL REQUEST



萬通證券
Univest Securities, Inc.

The ultimate beneficiary ("further credit to") for the instructions below, is NOT the same as the principal party's name and address as displayed on Person Financial Services, Inc.'s books and records and as provided by Introducing Broker (IB).

TO: MARGIN DEPT (Name of Margin Associate)

FROM: (Name)

AT: (Introducing Broker)

ACCOUNT NUMBER _____ - _____ - _____ - _____ (Branch) (Account Number) (T) (C) (Rep Number)	REQUEST DATE ____ - ____ - ____
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ACCOUNT NAME _____

MONEY MOVEMENT	SECURITIES MOVEMENT
Fed Funds: \$ _____, _____, _____ . _____	_____ shares of _____
Check(s): \$ _____, _____, _____ . _____	_____ shares of _____
Journal(s): \$ _____, _____, _____ . _____	_____ shares of _____
BENEFICIARY (3rd Party) _____	BENEFICIARY (3rd Party) _____

TO BE COMPLETED BY THE SALESPERSON

1. I have reviewed the written third party instructions from my customer and have verified the signature against the customer's records in our files.
2. I have spoken to my customer regarding these third party instructions. I have inquired with him/her the reason for the change in ownership and am satisfied with the explanation. I have also explained to my customer that third party instructions will only be done on an exception basis and will not be considered a normal business practice.
3. I have reviewed the customer's activity over the past several months and have determined that there are no unusual funds and/or securities movements in the account nor has the customer made a practice of changing ownership of either funds or securities.

IB SALESPERSON (Signature) >	DATE
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IB SALESPERSON (Print Name) _____

I have reviewed this transaction and verified that the above requirements were met for this third party transfer. I have also ensured that this transaction complies with our anti-money laundering policies and procedures. I agree to keep a copy of this form and the customer's instructions in our files and will monitor this customer for repeated third party transfer requests. If third party transfer requests become frequent, I will take appropriate steps as documented in our anti-money laundering policies.

IB COMPLIANCE OFFICER (Signature) >	DATE
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IB COMPLIANCE OFFICER (Print Name) _____