



## Unsupervised Assets Administration Form

### Section 1: Customer Information

FTS Account Number: \_\_\_\_\_ Account Name: \_\_\_\_\_

Investment Advisor Representative Name: \_\_\_\_\_

### Section 2: List the Security Requesting to be Treated as an Unsupervised Asset

*(Complete one form for each security you are requesting to be treated as an Unsupervised Asset)*

CUSIP/Symbol: \_\_\_\_\_ Security Name: \_\_\_\_\_

**Reason for Unsupervised Asset Request:** *Select all that apply.*

- ☐ **Break-even** (security currently has an unrealized loss and I intend to sell the security when the price is closer to my original purchase price)
- ☐ **Holding Period** (e.g., there is a contingent deferred sales charge or other similar charge associated with liquidating the security)
- ☐ **Low Price or Thinly Traded Security** (liquidating the security at this time or all at once would have market consequences)
- ☐ **Sentimental Value** (inherited security or employer/company stock that I am not ready to liquidate at this time)
- ☐ **Potential Tax Consequences** (e.g., I would incur a tax liability that I do not wish to incur at this time due to the security's current unrealized capital gain or loss, liquidating the security now could result in short-term tax gain rates, or push me into a higher tax bracket)
- ☐ **Other - Please explain:**

\_\_\_\_\_  
\_\_\_\_\_

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|                                                         |                                |                          |
|---------------------------------------------------------|--------------------------------|--------------------------|
| <b>Are Not FDIC Insured</b>                             | <b>Offer No Bank Guarantee</b> | <b>May Lose Value</b>    |
| <b>Are Not Insured By Any Federal Government Agency</b> |                                | <b>Are Not A Deposit</b> |

Insurance products made available through Fifth Third Insurance Agency, Inc. Insurance products are not offered in all states.

### Section 3: Client Attestation & Signatures

By signing below, I understand, acknowledge, and agree to the following:

Owner

Joint Owner

\_\_\_\_\_  
Initials

\_\_\_\_\_  
Initials

Fifth Third Securities, Inc. ("FTS") and FTS' Investment Adviser Representative(s) are not responsible for conducting any due diligence on a security or investment that is designated as an Unsupervised Asset.

\_\_\_\_\_  
Initials

\_\_\_\_\_  
Initials

The Unsupervised Asset is not managed by FTS while it remains an Unsupervised Asset, and the Unsupervised Asset is not incorporated into the asset allocation, risk tolerance, or the overall investment strategy of my FTS investment advisory account.

\_\_\_\_\_  
Initials

\_\_\_\_\_  
Initials

I intend the Unsupervised Asset to be liquidated at some point in the future and for the proceeds to be invested in my FTS investment advisory account. I further acknowledge and agree that I will not request a security or investment to be designated as an Unsupervised Asset if I do not intend for its proceeds to be invested in my FTS investment advisory account.

\_\_\_\_\_  
Initials

\_\_\_\_\_  
Initials

I am not an "officer" of a publicly traded company as defined under Section 16 of the Exchange Act of 1934, or if I am such an "officer", the Unsupervised Asset is not subject to Section 16 reporting requirements.

**Account holder(s) (owners or authorized individuals):**

\_\_\_\_\_  
Customer Printed Name

\_\_\_\_\_  
Customer Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Customer Printed Name

\_\_\_\_\_  
Customer Signature

\_\_\_\_\_  
Date