

DESIGNATE A TRUSTED CONTACT PERSON

Herold & Lantern Investments, Inc. encourages you to designate a trusted contact person by completing the attached form.

What is a “Trusted Contact Person”?

An individual, 18 or older, that you identify to us and to whom we can reach out to when we are unable to reach you and/or if we have concerns about your well-being and the security of your investment account(s). Your trusted contact person should be someone you know well and trust to put your interests first. We recommend that you let your trusted contact person know that you have named them just in case we need to reach out to them in the future.

When might you contact my Trusted Contact?

We may contact the trusted contact person and disclose information about your account to:

Address possible financial exploitation

Confirm the specifics of your current contact information and/or health status

Identify any legal guardian, executor, trustee or holder of a power of attorney

What else should I know?

While we would be authorized to share certain account information with your trusted contact person, they would **not** have the ability to access your account or act on your behalf in any manner, unless your trusted contact person is a joint owner or you have previously granted them authority in some capacity. We will not notify the individual(s) you select.

Do I have to appoint a trusted contact?

This is an optional account feature, but we recommend that you consider adding at least one trusted contact person to help us protect you and your assets. You can add, remove or change a trusted contact person at any time.

Please contact your Financial Representative for more information

Contact Authorization Form

By my signature below, I/We authorize Herold & Lantern Investments, Inc. ("H&L") and its affiliates to share my/our nonpublic personal information* held at H&L to the named Authorized Individual(s) identified below.

I/We authorize this information to be shared with the Authorized Individual(s) in the discretion of H&L. This authorization includes, but is not limited to, any of the undersigned client's information regarding securities, insurance, bank related, financial planning or other financial products or services offered by or through H&L or any financial information the undersigned may have provided to H&L.

I/We understand that H&L may contact the named Authorized Individual(s) if there are questions/concerns about my whereabouts or health status (i.e., if H&L becomes concerned that I might no longer be able to handle my financial affairs) or in the event that H&L becomes concerned that I may be a victim of fraud or exploitation.

H&L suggests that the named Authorized Individual(s) not be someone authorized to transact business on the account, or who is already otherwise able to receive the information described above.

Name of Contact Person:		Relationship:	
Mobile Phone:	Home Phone:	Email:	
Street Address:		City, State and Zip Code:	
Check here if this Contact Authorization supersedes a previous Contact Authorization:			

Name of Contact Person:		Relationship:	
Mobile Phone:	Home Phone:	Email:	
Street Address:		City, State and Zip Code:	
Check here if this Contact Authorization supersedes a previous Contact Authorization:			<input type="checkbox"/>

I understand that there is no requirement that H&L reach out to my contact person and that I may withdraw this Contact Authorization at any time by notifying H&L in writing at the address shown on my account statement. By signing below, I and my heirs, hold Herold & Lantern Investments, Inc. harmless if we either act, or fail to act, on your stated preferences based upon our own best judgement.

Client Signature

Client Signature

Printed Name

Printed Name

Date

Date

Multiple contact persons may be designated by completing additional copies of this form for each contact person.

* "Nonpublic personal information" includes, but is not limited to: financial account information and balances, recommendation for purchase of a security or insurance product, and, as defined in Title V of the Federal Financial Services Modernization Act of 1999 as amended, or as defined by any other federal or state law, personally identifiable financial information-(i) provided by a consumer to a financial institution; (ii) resulting from any transaction with the consumer or any service performed for the consumer; or (iii) otherwise obtained by the financial institution