Clear Form Print Form

DUNHAM & ASSOCIATES

CHANGE OF BROKER-DEALER AUTHORIZATION

WHEN PERFORMANCE COUNTS

Use this form to instruct Dunham to change the Broker-Dealer Firm and/or the Financial Representative of the Broker-Dealer Firm on a Dunham Account. *Note: Do not use this form to change the Registered Investment Adviser Firm or associated Financial Representatives for that Registered Investment Adviser Firm.*

1. Client Account Information

Account Owner's Name / Trustee/ Organization's Representative ______________________

Account Title ______________________

Joint Account Owner's Name / Trustee ______________________

Financial Advisor Name ______________________

Dunham Account Number(s): ______ - __ ______ - __

______ - __ ______ - __

______ - __ ______ - __

2. Current Broker-Dealer and Representative Information

Please give us information on the Broker-Dealer Firm and Representative you currently have on file at Dunham.

What are you changing? Mark all that apply.

- ☐ Broker-Dealer Firm on record
- ☐ Financial Advisor on record

Broker Dealer Firm Name: ______________________

Financial Advisor Name: ______________________

Representative ID #: ____________ Branch #: ____________

3. New Broker-Dealer and Representative Information

Please give us information on the new Broker-Dealer Firm and Represenative that Dunham's records should reflect.

Broker-Dealer Firm Information

Firm Name ______________________

Home Office Address ______________________

City ______ State ______ Zip Code ______

Financial Advisor Information

Financial Advisor Name ______________________

Branch Office Address ______________________

City ______ State ______ Zip Code ______

Representative ID # ______ Branch # ______

4. Authorization and Signature(s)

If multiple accounts are listed in Section 1 of this form, ALL account owners must sign below.

X______________________
Signature of Owner / Trustee / Business or Organization Signer Date

X______________________
Signature of Owner / Trustee / Business or Organization Signer Date

Mail completed forms to Dunham & Associates, Attn: Client Services, PO BOX 910309, San Diego, CA 92191