



What you need to know about TCA's Annual Notification to Account Owners who have Third-Party Authorization for distributions

The SEC requires both RIAs and custodians to have procedures in place that protect investors when they authorize their financial advisors to make distributions from their accounts to a third party on their behalf.

TCA's procedures include:

- Sending notifications to account owners when TCA initially receives an Advisor Authorization for Distributions where third-party instructions are provided.
- Sending notifications to account owners each time a distribution is sent to a third party.
- Sending an annual notice to account owners who have a third-party authorization on file.

A sample of the annual notification letter, as well as a list of your accounts owners that have a third-party authorization on file receiving the notification, will be provided to you by your TCA Relationship Manager. These notifications will be mailed the week of February 26.

For more details on these requirements, please review these past RIA Connection articles:

<http://riaconnection.trustamerica.com/bulletins/new-mitigating-ria-custody-resulting-from-standing-letters-of-authorization>

<http://riaconnection.trustamerica.com/bulletins/new-update-mitigating-ria-custody-resulting-from-standing-letters-of-authorization>

Please contact your TCA Relationship Manager know if you have questions.