

STATE OF CALIFORNIA – DEPARTMENT OF FINANCIAL PROTECTION AND INNOVATION
CUSTOMER AUTHORIZATION OF DISCLOSURE OF FINANCIAL RECORDS
DFPI-QR 500.261 (Rev. 11-20)



Pursuant to Corporations Code Section 25241 and Government Code Sections 7470 and 7473, any financial institution, wherever situated, possessing financial records of

Name of (check appropriate designation(s) below)

_____ Broker-Dealer

_____ Investment Adviser

is hereby authorized to disclose to the California Department of Financial Protection and Innovation records of the above-named broker-dealer or investment adviser business whether such records relate to accounts which have been closed, accounts which are currently maintained, or accounts which are hereafter established.

This authorization is effective as of the date of execution and shall remain effective until five years after the expiration or revocation of the above-named broker-dealer or investment adviser license, including renewals of such license.

This authorization may not be revoked.

The terms used in this authorization shall have the definitions contained in the California Right to Financial Privacy Act (Government Code Section 7460 et seq.) and the Corporate Securities Law (Corporations Code Section 25000 et seq.).

The above-named licensee has duly caused this authorization to be signed on its behalf by the undersigned, thereunto duly authorized.

Executed on _____, 20____ at _____

Name of Licensee

Licensee's Department of Financial
Protection and Innovation File Number

By _____

(Title)

INSTRUCTIONS FOR CUSTOMER AUTHORIZATION
OF DISCLOSURE OF FINANCIAL RECORDS

On the reverse is a Customer Authorization of Disclosure of Financial Records form. The Commissioner of Financial Protection and Innovation is authorized to require such authorization from certain licensees and other persons pursuant to the authority cited in the first paragraph of the form.

The form must be properly executed and submitted with the attached application for license, qualification, registration or other authority.

All information required on the form, except the signature of the person executing the form, is to be typewritten.

If the form requests a Department of Financial Protection and Innovation file number, the applicant need only provide such number if it is known to the applicant and is the type of file number appropriate for the license, qualification, registration or other authority applied for in the attached application.

If additional authorization forms are needed, they may be obtained from any office of the Department of Financial Protection and Innovation or accurate copies of the form may be utilized by applicants.