

# PNC Investments Authorized Investor Attestation - FAQ

## What criteria does a client need to meet to qualify as an Authorized Investor?

- Individual or joint net worth of at least \$1 million (excluding residence) – or –
- Annual income exceeding \$200,000 in each of the last two years (individual) or \$300,000 (joint) with expectation that income level will continue for the current year – and –
- Minimum 5 years experience with Investment Products (i.e., mutual funds, stocks, bonds, ETFs, etc.)

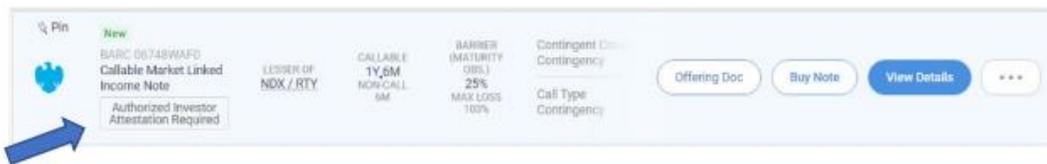
## When is the PNC Investments Authorized Investor Attestation required?

The client will be required to sign the PNC Investments Authorized Investor Attestation in order to purchase a Structured Product with Barrier Protection or a “Worst Of” feature. Once the form has been completed and submitted into BPM it will remain on file for the client. If a trade is placed for a structured product requiring the form, CRD will review the trade to ensure the form is completed prior to approving the trade for execution. *Please note: MLCDs and PPNs will be available to all PNCI clients and are not limited to Authorized Investors only.*

## How can I determine which of the offerings on the monthly Structured Product calendar require Authorized Investor Attestation?

The monthly Structured Product offerings are viewable on the PNCI Eligibility List ([link](#)) as well as on the iCapital (formerly SIMON) and InspereX platforms. The list on each site will include an indicator that dictates which cusips require a client signed Authorized Investor Attestation.

### Sample indicator of requirement on iCapital site (formerly SIMON):



### Sample indicator for Authorized Investor Attestation on InspereX:

MLN	Income	3NC6MO 7/31/24	Barclays Bank plc	Lesser of ETSY/FICZR	<b>Autocallible Contingent Coupon Note</b> 13.50% p.a. Coupon   55% Coupon Barrier   55% Principal Barrier at maturity   45% Contingent Protection)	Pay Monthly Call Quarterly	7/23 5:00PM EST Closed	2.500%	<b>06748W2P7</b> Offering Docs Deal Sheet	<b>ACCREDITED INVESTORS ONLY</b> CR as of 7/1 ETSY 4.6 F 3.82 CZR 4.47
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## Where can I access the PNC Investments Authorized Investor Attestation form?

The form will be eligible for e-signature and will be generated as a supplemental form in UAO as well as being posted at the following locations:

- [PNCI Forms Library > Product](#)
- InspereX Platform
- iCapital (formerly SIMON) Platform