

Sub Firm #	BR Code	FA Code	Account Number
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

(Office Use Only)

<input type="checkbox"/>	New
<input type="checkbox"/>	Update

Account Application

Account Classification	
Tax Status <input type="checkbox"/> U.S. Citizen <input type="checkbox"/> U.S. Non-Individual Account <input type="checkbox"/> Resident Alien <input type="checkbox"/> Non-Resident Alien	Product Types <input type="checkbox"/> Advantage Program <input type="checkbox"/> Standard Brokerage
Individual Account Registration Types (select type)	
<input type="checkbox"/> Individual <input type="checkbox"/> Custodian/Minor** <input type="checkbox"/> Guardian/Conservatorship (must attach appointment) <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> 529 Plan - Individual <input type="checkbox"/> 529 Plan - Custodian** <input type="checkbox"/> 403(b) Retirement Plan	Joint Account Types <input type="checkbox"/> Joint Tenants in Common <input type="checkbox"/> Joint Tenants with Rights of Survivorship* <input type="checkbox"/> Joint Tenants by Entirety (if permitted by your state law) <input type="checkbox"/> Community Property (if required by your state law) <input type="checkbox"/> Other: _____
IRA Types <input type="checkbox"/> Traditional IRA <input type="checkbox"/> SIMPLE <input type="checkbox"/> ESA <input type="checkbox"/> Roth <input type="checkbox"/> SEP <input type="checkbox"/> SAR-SEP <input type="checkbox"/> Inherited <input type="checkbox"/> Spousal <input type="checkbox"/> Outside IRA <input type="checkbox"/> SEP Annuity - External Custodian <input type="checkbox"/> IRA Annuity - External Custodian	
Non-Personal Account Registration Types (select type) <input type="checkbox"/> C-Corporation <input type="checkbox"/> Estate (Certificate of Qualification must be attached/Affidavit of Domicile must be provided) <input type="checkbox"/> S-Corporation <input type="checkbox"/> Non-Profit Organization <input type="checkbox"/> Investment Club <input type="checkbox"/> LLC <input type="checkbox"/> Partnership <input type="checkbox"/> Municipal/Government/Public Funds <input type="checkbox"/> Other <input type="checkbox"/> Qualified Plan (Profit-Sharing Plan, 401(k), Money Purchase, Defined Benefit) <input type="checkbox"/> Trust Trustee Type: <input type="checkbox"/> Individual with SSN <input type="checkbox"/> Non-Individual with TIN Trust Date: _____ Number of Trustee(s): _____	
<p>* If two or more owners, Joint Tenants with Rights of Survivorship will be selected automatically if you fail to select one of the above. ** Primary is the minor on a custodian account.</p>	

Primary Owner Information	
Will this account have Third Party Authorization? <input type="checkbox"/> Yes <input type="checkbox"/> No	Mother's Maiden Name
<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Dr. <input type="checkbox"/> Rev. <input type="checkbox"/> Senator <input type="checkbox"/> Justice <input type="checkbox"/> Other _____	

Name and Address	Customer Identity Verification
Name	Does FA have an existing or previous relationship with this person? <input type="checkbox"/> Yes <input type="checkbox"/> No (If "No," please complete a-j below.)
Legal Address (cannot be a P.O. Box)	a. Government ID Type (Reference Govt. ID Codes on page 8)
	b. Government ID Number
City	c. Date of Issue d. Date of Expiration
State	e. Place of Issue
ZIP	f. Second Government ID Type (Reference Govt. ID Codes on page 8)
Country of Residence	g. Second Government ID Number
Home Phone 1 Home Phone 2	h. Date of Issue i. Date of Expiration
Business Phone 1 + Extension Business Phone 2 + Extension	j. Place of Issue
Cell Phone 1 Cell Phone 2	SSN/TIN
Fax Number Other Phone	Is FA registered in the Client's state of legal address? <input type="checkbox"/> Y <input type="checkbox"/> N
Date of Birth Country of Citizenship/Registration State of Registration Permanent U.S. Resident? <input type="checkbox"/> Y <input type="checkbox"/> N	

Tenants in Common Ownership % (must equal 100%)	
Name	%
Name	%

Owner Information Details	
Source of Funds:	<input type="checkbox"/> A - Savings (From Earnings) <input type="checkbox"/> B - Inheritance <input type="checkbox"/> C - Business Revenue <input type="checkbox"/> D - Donations <input type="checkbox"/> E - Sale of Business <input type="checkbox"/> F - Sale of Real Estate <input type="checkbox"/> G - Sale of Asset <input type="checkbox"/> H - Legal/Ins Settlements <input type="checkbox"/> I - Asset Appreciation <input type="checkbox"/> J - Other <input type="checkbox"/> K - Associated Persons

Person of Interest/High Risk Indicators	
U.S. Non-Individual (Select up to five (5) indicators that apply to this account owner.)	<input type="checkbox"/> CASINO (5B) <input type="checkbox"/> GUN DLR/FIREARMS (5E) <input type="checkbox"/> FOREIGN NGO (5F) <input type="checkbox"/> TRAVEL AGENT (5A) <input type="checkbox"/> GEM/PREC MTL DLRS (5C) <input type="checkbox"/> MONEY SERVICE BUS (5D) <input type="checkbox"/> PEP-FOREIGN (5G) <input type="checkbox"/> NOT APPLICABLE (00)
U.S. Individual (Select all that apply.)	<input type="checkbox"/> PEP (3A) <input type="checkbox"/> NOT APPLICABLE (00)

Account(s) carried by First Clearing. First Clearing is a trade name used by Wells Fargo Clearing Services, LLC, a registered broker-dealer and non-bank affiliate of Wells Fargo & Company.

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Owner Information Details (Continued)

Foreign Non-Individual (Select up to five (5) indicators that apply to this account owner.)

<input type="checkbox"/> CASINO (6B)	<input type="checkbox"/> FOR PERS INV/HOLDING CO (6H)	<input type="checkbox"/> MONEY SERVICE BUS (6D)	<input type="checkbox"/> NOT APPLICABLE (00)
<input type="checkbox"/> FFI (6L)	<input type="checkbox"/> FOREIGN TRUST (6I)	<input type="checkbox"/> FOREIGN NGO (6K)	
<input type="checkbox"/> FOR FIN INTERMEDIARY (6M)	<input type="checkbox"/> GEM/PREC MTL DLRS (6C)	<input type="checkbox"/> PEP-FOREIGN (6N)	
<input type="checkbox"/> FOR OPERATING CO (6G)	<input type="checkbox"/> GUN DLR/FIREARMS (6F)	<input type="checkbox"/> TRAVEL AGENT (6A)	

Foreign Individual (Select all that apply.)

<input type="checkbox"/> FOR FIN INTERMEDIARY (3B)	<input type="checkbox"/> PEP (3A)	<input type="checkbox"/> NON-RESIDENT ALIEN (3C)	<input type="checkbox"/> NOT APPLICABLE (00)
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Rule 144: Is authorized person, or member of their immediate family a director, policy-making officer, or 10% stockholder in any publicly traded company?
 Yes No **If "Yes," indicate Ticker Symbol, CUSIP, or Name:** _____

FINRA Insider Information: Is Client, Client's Spouse, or immediate relative employed by Introducing Firm (U or V) or another FINRA Member (W or X)?

<input type="checkbox"/> Customer not associated with FINRA firm	<input type="checkbox"/> W - Employees or brokers of other registered broker-dealer firms, their dependent accounts and accounts in which they have a financial or beneficial control or interest
<input type="checkbox"/> U - Associate of Introducing Firm and/or dependents, family members	Indicate name of other registered broker-dealer firm _____
<input type="checkbox"/> V - Non-dependent family members of an associate of Introducing Firm	<input type="checkbox"/> X - Immediate family members of employees of other security firms

Occupation Description:

<input type="checkbox"/> A-Proprietor, Professional, Manager	<input type="checkbox"/> B-Info Tech Systems	<input type="checkbox"/> C-Craftsman, Skilled Worker	<input type="checkbox"/> D-Sales	<input type="checkbox"/> E-Admin, Clerical
<input type="checkbox"/> F-Public Service	<input type="checkbox"/> G-Personal Service Provider	<input type="checkbox"/> H-Farming, Fishing, Forestry	<input type="checkbox"/> I-Education	<input type="checkbox"/> J-Clergy
<input type="checkbox"/> K-Other* _____	<input type="checkbox"/> L-Unemployed	<input type="checkbox"/> M-Retired	<input type="checkbox"/> N-Student	<input type="checkbox"/> P-Homemaker

*(Description is required.) (If Retired, complete questions based on retired firm.)

Account Purpose and Nature:

<input type="checkbox"/> Investment	<input type="checkbox"/> Retirement	<input type="checkbox"/> Children's Savings	<input type="checkbox"/> Employee Retirement
<input type="checkbox"/> Business Management	<input type="checkbox"/> Personal Liquid Savings	<input type="checkbox"/> Trust Management	<input type="checkbox"/> Estate Management

Business Nature:

<input type="checkbox"/> A-Agriculture	<input type="checkbox"/> B-Consumer & Business Services	<input type="checkbox"/> C-Construction	<input type="checkbox"/> D-Energy	<input type="checkbox"/> S-Estate
<input type="checkbox"/> E-Financial Services	<input type="checkbox"/> F-Government	<input type="checkbox"/> G-Healthcare	<input type="checkbox"/> H-Industrial	<input type="checkbox"/> I-Media
<input type="checkbox"/> J-Non-Profit	<input type="checkbox"/> R-Other	<input type="checkbox"/> K-Personal Investment Company	<input type="checkbox"/> L-Real Estate	<input type="checkbox"/> M-Retail
<input type="checkbox"/> N-Technology	<input type="checkbox"/> O-Telecommunications	<input type="checkbox"/> P-Transportation	<input type="checkbox"/> T-Trust	<input type="checkbox"/> Q-Wholesale

Employer Name	Employer Phone	Years with Employer
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Employer Address

City	State	ZIP Code	Country
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Position

Account Registration and Instructions

Registration Title (if different from page 1) <i>Primary Owner must match information for tax certification</i>		Suitability Data Collected Should be for the Account (Reference tables provided on page 7)	
		1. Is primary owner a registered investment advisor/company either with the SEC or state securities commission? <input type="checkbox"/> Y <input type="checkbox"/> N	
		2. Does the account holder have total assets of at least \$50 million? <input type="checkbox"/> Y <input type="checkbox"/> N	
Mailing Address (if different from Legal Address)		3. Is this an account for a Municipal Government Entity (MGE)? <input type="checkbox"/> Y <input type="checkbox"/> N	
		Initial Transaction Amount	Investment Objective <input type="checkbox"/> Income & Conservative - A <input type="checkbox"/> Income & Moderate - G <input type="checkbox"/> Income & Aggressive - I <input type="checkbox"/> Growth & Income + Conservative - B <input type="checkbox"/> Growth & Income + Moderate - D <input type="checkbox"/> Growth & Income + Aggressive - K <input type="checkbox"/> Growth & Conservative - H <input type="checkbox"/> Growth & Moderate - C <input type="checkbox"/> Growth & Aggressive - E <input type="checkbox"/> Trading & Speculation - L
		Other Investments (Table 1)	
		Annual Income - All Sources (Table 1)	
City	State	ZIP Code	Liquid Net Worth (Table 1)
Home Phone	Business Phone		Net Worth - Excluding Residence (Table 1)
Fax Number	Other Phone		
Email Address		SSN/TIN	Tax Bracket <input type="checkbox"/> 10% <input type="checkbox"/> 12% <input type="checkbox"/> 22% <input type="checkbox"/> 24% <input type="checkbox"/> 32% <input type="checkbox"/> 35% <input type="checkbox"/> 37%

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Non-Individual Account Owner																										
Exchange Name	Country of Exchange	Exchange Description																								
Sales Market	Sales Market State(s)	Sales Market Country(ies)																								
Business Type: <table border="0"> <tr> <td><input type="checkbox"/> Corporation</td> <td><input type="checkbox"/> Partnership</td> </tr> <tr> <td><input type="checkbox"/> Govt. Unit or Agency</td> <td><input type="checkbox"/> Sole Proprietor</td> </tr> <tr> <td><input type="checkbox"/> Indian Tribal Govt.</td> <td><input type="checkbox"/> Trust Co.</td> </tr> <tr> <td><input type="checkbox"/> Limited Liability Co.</td> <td><input type="checkbox"/> Unicorp Assn./Social/Rec/Civic Group/Non-Profit</td> </tr> <tr> <td><input type="checkbox"/> Limited Liability Partnership</td> <td></td> </tr> <tr> <td><input type="checkbox"/> Limited Partnership</td> <td></td> </tr> </table>			<input type="checkbox"/> Corporation	<input type="checkbox"/> Partnership	<input type="checkbox"/> Govt. Unit or Agency	<input type="checkbox"/> Sole Proprietor	<input type="checkbox"/> Indian Tribal Govt.	<input type="checkbox"/> Trust Co.	<input type="checkbox"/> Limited Liability Co.	<input type="checkbox"/> Unicorp Assn./Social/Rec/Civic Group/Non-Profit	<input type="checkbox"/> Limited Liability Partnership		<input type="checkbox"/> Limited Partnership													
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NAIC Sub-Industry (1)*																										
NAIC Sub-Industry (2)*																										
NAIC Sub-Industry (3)*																										
Is legal entity publicly traded?	Entity symbol and Exchange	or CUSIP																								
<input type="checkbox"/> Yes <input type="checkbox"/> No																										
Is the legal entity regulated by Federal Regulator?																										
<input type="checkbox"/> Yes <input type="checkbox"/> No																										

*For information regarding NAICS Industry Codes, please visit the following website <https://www.census.gov/naics> and use the 2022 NAICS Search feature to locate potential industry code descriptions.

NAIC (North American Industry Classification System) - Required for non-individual clients. NAICS codes are a standard used by federal statistical agencies in classifying business establishments for the purpose of collecting, analyzing, and publishing statistical data related to the U.S. business economy.

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AML Compliance Field (For Corporation and Partnership Accounts Only) Is this customer a casino, travel agency, or money remitter? <input type="checkbox"/> Y <input type="checkbox"/> N If "Yes," provide TIN: _____ *AML Checklist and Enhanced Due Diligence forms are required and Compliance approval must be obtained before submitting the account for opening.					Standing Instructions <input type="checkbox"/> Margin <input type="checkbox"/> Cash Will this account be enabled for options trading? <input type="checkbox"/> Y <input type="checkbox"/> N				
If requested, does Client want us to provide name and address to an issuer in which we hold securities in street name? SEC Rule 14b-1 prohibits from using name and address for any purpose other than corporate communications. <input type="checkbox"/> Y <input type="checkbox"/> N					Margin Account TO OPEN A MARGIN ACCOUNT, YOU MUST BE ELIGIBLE FOR MARGIN PRIVILEGES AND ELECT TO OPEN A MARGIN ACCOUNT. Accounts not eligible for margin include: Custodian, Guardian, ERISA, IRAs, Investment Club, and Pension and Profit-Sharing accounts. Margin trading entails greater risk and is not suitable for all investors. If the market value of eligible securities in your account declines, you may be required to deposit more money or eligible securities in order to maintain your line of credit. By requesting a margin account and signing this Application, I acknowledge that I have received and read the <u>Margin Disclosure Statement</u> , the <u>Basic Brokerage Account Agreement and Disclosure Document</u> , and <u>Statement of Interest Charges and Margin Account Policy</u> documents. I understand that my securities may be pledged, repledged, hypothecated, or rehypothecated by First Clearing* as deemed necessary.				
Primary Owner Demographics <input type="checkbox"/> Female <input type="checkbox"/> Male <input type="checkbox"/> Own <input type="checkbox"/> Rent <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Divorced <input type="checkbox"/> Widowed Number of Dependents: _____					Initial intended purpose of the Account (Select one option) <input type="checkbox"/> Standby Liquidity including Brokerage Cash services <input type="checkbox"/> Increased Investing power or advanced trading <input type="checkbox"/> Balance transfer or debt consolidation <input type="checkbox"/> Non Securities purchase (Non-purpose borrowing need) <input type="checkbox"/> I DECLINE margin privileges. I understand that my account will be opened as a cash account and that I will not have overdraft protection.				
Education Level <input type="checkbox"/> High School Graduate <input type="checkbox"/> Post-Secondary Study <input type="checkbox"/> Two-Year Degree <input type="checkbox"/> College Graduate <input type="checkbox"/> Postgraduate Study <input type="checkbox"/> Advanced Degree <input type="checkbox"/> Other									
Investment Experience (Indicate Years of Experience in each category)									
Stocks	Bonds	Options	Annuities-Life Ins	Mutual Funds					
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>					
Average Pricing <input type="checkbox"/> Y <input type="checkbox"/> N (Selecting "Yes" will establish average pricing for all order transactions in the account.)									
Time Horizon The expected period over which a customer plans to invest to achieve a particular financial goal. <input type="checkbox"/> (A) Long Term (10+ years) <input type="checkbox"/> (B) Moderate (5-10 years) <input type="checkbox"/> (C) Intermediate (3-5 years) <input type="checkbox"/> (D) Short Term (1-3 years) <input type="checkbox"/> (E) Immediate (Less than 1 year)									
Liquidity Needs The extent to which a customer desires the ability or has financial obligations that dictate the need to quickly and easily convert to cash all or a portion of an investment or investments without experiencing significant loss in value from, for example, the lack of a ready market, or incurring significant costs or penalties. <input type="checkbox"/> (A) Significant (Primary need is liquidity) <input type="checkbox"/> (B) Moderate (May need quick access to cash) <input type="checkbox"/> (C) None (Have other sources of cash)									
Additional Account Considerations (Your financial advisor considered the following information in determining the account type recommendation.) <input type="checkbox"/> The client prefers transactional recommendations on a trade-by-trade basis instead of ongoing advice and account monitoring. <input type="checkbox"/> The client prefers ongoing advice and account monitoring instead of transactional recommendations on a trade-by-trade basis. <input type="checkbox"/> The client prefers to pay commissions/transactional charges instead of ongoing asset-based fees. <input type="checkbox"/> The client prefers to pay ongoing asset-based fees instead of commissions/transactional charges. <input type="checkbox"/> The client prefers to direct their own trades instead of providing an FA or third party manager discretion over trades. <input type="checkbox"/> The client prefers for their FA or the Firm to have discretion over trades instead of providing a third party manager discretion over trades. <input type="checkbox"/> The client prefers that a third party manager exercise discretion over trades instead of providing the FA or the Firm discretion over trades. <input type="checkbox"/> The client prefers program specific investment options (e.g., ETFs, Mutual Funds, UITs) instead of a broad array of investment options. <input type="checkbox"/> The client prefers to have access to a broad array of investment product options instead of being limited to program specific investment options. <input type="checkbox"/> By selecting, you confirm that you have considered reasonably available alternatives to the account type(s) selected for the client and have considered the risks, rewards, and costs of the account(s) and any features selected for the client.									

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Referral Information

Account acquired from:

Direct Mail Print Advertising

E-commerce Radio Advertisement

Existing Client: _____ Referral (Broker, Firm, Prof., Other): _____

Know Personally Seminar

Other: _____ Specific Promotion: _____

Phone Solicitation Television Advertisement

Know Personally Walk-in Client

Other Brokerage Accounts? Y N If "Yes," list the firm name(s):

Personally met with client? Y N

Old Account Number _____

Dividend Standing Instructions:

Into Free Credit Daily Semi-Weekly Monthly

Credit Margin Pay Cash Semi-Weekly Credit Margin Pay Cash Monthly

Money Market Dividend

Pay out money market fund distributions

Reinvest money market fund distributions

Stock Instructions:

Register in street name and hold

DVP

Cash Sweep Instructions:

Sweep money market in cash only

Sweep money market in cash and margin

Trade Balance Instructions:

Pay net credit balance

Pay and Pay

Hold all balances***

*** If the stock instructions, trade balance instructions, and/or dividend instructions are left blank, the account will default to hold stocks in street name, hold balances, and/or hold dividends.

Cost Basis Elections (Reference table provided on page 8)

Tax Lot Relief Method*: _____

*The default method is FIFO (First In First Out)

Election for Rights/Warrants Apportionment Y N (if applicable)

Average Cost Elections (If you choose N do not enter the date)

Mutual Funds: _____

Election Date: _____

Dividend Reinvestment Plans: _____

Election Date: _____

Client Identification Program

Has the Broker advised the party establishing this account that information collected on parties associated with this account is subject to verification as mandated by the USA PATRIOT Act and outlined in our Client Identification Program? Y N

Commission Discounts (%)

Stocks	Bonds	Options

Dividend Reinvestment Instructions:

All eligible dividends will be reinvested for this account. No dividends will be reinvested for this account. Cash dividends will be paid for all new trades.

Cash dividends will be paid for this account unless the security is coded for reinvest. Reinvest all new dividends for this account unless the security is coded for cash dividends.

Principal Instructions: Principal payment to free credit for reinvestment Process principal payments according to trade standing instructions

Display cost basis on statements? Y N FULL NET

Account Relationship Reminders

If the new account is related to other accounts, please indicate the account number of the primary account: _____

This acts as a reminder to input this relationship for the items listed below, if applicable.

Statement Linking _____ Firm Householding _____ Access Online _____

Additional Client Reporting

Duplicate Confirmations 1

Duplicate Confirmations 2

Duplicate Statements 1

Duplicate Statements 2

Acceptance of Terms

I understand that this account is governed by the Basic Brokerage Account Agreement and Disclosure Document and/or other agreements I have with Introducing Firm. Accounts are carried and credit is extended by First Clearing* ("Clearing Agent").

*Account(s) carried by First Clearing. First Clearing is a trade name used by Wells Fargo Clearing Services, LLC, a registered broker-dealer and non-bank affiliate of Wells Fargo & Company.

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Arbitration

Arbitration Disclosures:

This Agreement contains a pre-dispute arbitration clause. By signing an arbitration agreement, the parties agree as follows:

- All of the parties to this Agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which the claim is filed.
- Arbitration awards are generally final and binding; a party's ability to reverse or modify an arbitration award is very limited.
- The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.
- The arbitrators do not have to explain the reason(s) for their award unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the panel at least 20 days prior to the first scheduled hearing date.
- The panel of arbitrators typically will include a minority of arbitrators who were or are affiliated with the securities industry.
- The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.
- The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this Agreement.

No person shall bring a putative or certified class action to arbitration, nor seek to enforce any pre-dispute arbitration agreement against any person who has initiated in court a putative class action; or who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until:

- (i) the class certification is denied; or
- (ii) the class is decertified; or
- (iii) the client is excluded from the class by the court.

Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this Agreement except to the extent stated herein.

Arbitration Provision:

It is agreed that all controversies or disputes which may arise between you and Introducing Firm, Clearing Agent and any other agent, (collectively, "us") concerning any transaction or the construction, performance or breach of this Agreement or any other agreement between us, whether entered into prior to, on, or subsequent to the date of this Agreement, including any controversy concerning whether an issue is arbitrable, shall be determined by arbitration conducted before, and only before, an arbitration panel set up by the Financial Industry Regulatory Authority ("FINRA") in accordance with its arbitration procedures. Any of us may initiate arbitration by filing a written claim with FINRA. Any arbitration under this Agreement will be conducted pursuant to the Federal Arbitration Act and the Laws of the State of New York. The state or federal statute of limitations, statute of repose, non-claim statute or any other time bar that would be applicable to any claim filed in a court of competent jurisdiction shall be applicable to any claim filed in arbitration.

Tax Certification - Check one box below that applies.

- U.S. Person or Resident Alien (IRS Form W-9):** By checking this box, under penalties of perjury, I certify that:
 - 1) The number shown on this form is my correct Taxpayer Identification Number (or I am waiting for a number to be issued to me); and
 - 2) I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
 - 3) I am a U.S. citizen or other U.S. person; and
 - 4) The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct. (NOTE: The FATCA code is not applicable for accounts maintained in the United States.)

You must cross out item 2) above if you have been notified by the IRS that you are currently subject to backup withholding because of under reporting interest or dividends on your tax return.

- Non-Resident Alien Individuals and Foreign Entities:** By checking this box, I certify that I am not a U.S. citizen, resident alien, or other U.S. entity for U.S. tax purposes and I will provide the appropriate Form W-8 with this application. If any joint owner of this account provides an IRS Form W-9, I understand all income will be reported to that person or entity under the rules in Chapters 3, 4, and 61 of the U.S. Internal Revenue Code.

Authorized Signatures

Account Control. All Individuals, Joint Owners, Fiduciaries of Trusts, Estates, Pension and Profit-Sharing Plans, and General Partners of Partnerships and those authorized to establish and control accounts must sign. For Corporations and all other organizations, the President and Secretary (or those with equivalent titles) must sign along with any other officer(s) to give instructions on behalf of the Account. If the Account has authorized an Investment Advisor Plan Administrator or other third party to give trading or other instructions, please provide a copy of such authorization.

THE INTERNAL REVENUE SERVICE DOES NOT REQUIRE YOUR CONSENT TO ANY PROVISION OF THIS DOCUMENT OTHER THAN THE CERTIFICATIONS REQUIRED TO AVOID BACKUP WITHHOLDING.

THIS CLIENT AGREEMENT CONTAINS A PRE-DISPUTE ARBITRATION CLAUSE LOCATED ON PAGE 6 UNDER THE PARAGRAPH HEADER "ARBITRATION" AND IN THE BASIC BROKERAGE ACCOUNT AGREEMENT AND DISCLOSURE DOCUMENT ON PAGE 1, PARAGRAPH 5, UNDER THE HEADER "ARBITRATION." BY EXECUTING THIS DOCUMENT I AGREE TO BE BOUND BY THE PRE-DISPUTE ARBITRATION CLAUSE. THE UNDERSIGNED HEREBY ACKNOWLEDGES RECEIPT OF A COPY OF THE CLIENT AGREEMENT AND THE BASIC BROKERAGE ACCOUNT AGREEMENT AND DISCLOSURE DOCUMENT AND HEREBY AGREES TO THE TERMS OF THESE AGREEMENTS.

	Primary Owner Signature Use BLACK ink only.	Printed Name	Title (if applicable)	Date (required)
	X			
	Signature 2	Printed Name	Title (if applicable)	Date (required)
	X			
	Signature 3	Printed Name	Title (if applicable)	Date (required)
	X			
	Signature 4	Printed Name	Title (if applicable)	Date (required)
	X			

Internal use	Financial Advisor Signature	FA Code	Principal Approval Signature	Principal Rep Code	Date
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Investment Objectives and Risk Tolerance

All investors have goals that help guide their investment decisions. Investment goals typically have different time horizons and different income and growth needs. Generally, investment goals are on a spectrum, with "Income" investors typically holding the smallest percentage of higher risk investments, followed by "Growth and Income" investors holding some higher risk investments, and finally "Growth" investors holding a significant portion of their portfolio in higher risk investments. In addition, investors have different risk tolerances, independent of their income and growth needs. Risk tolerance is the amount of risk or loss an investor is willing and able to accept in order to achieve his/her financial goals and is measured on a continuum that increases from "Conservative" to "Moderate" to "Aggressive," and finally "Trading/Speculation." In determining an investment objective, it is important for you to assess your risk tolerance and your need for income and growth.

By aligning the risk tolerances with the investment needs, the Introducing Firm offers clients 10 different investment objectives from which to choose. While all investments involve some degree of risk, including the potential for loss of principal, some investments involve more risk than others. For example, higher risk investments may have the potential for higher returns, but also have the potential for greater losses. Please carefully review the descriptions below in each Investment Objective and select the one that most closely describes your risk tolerance, investment needs, and investment preference.

INCOME: Portfolios emphasize current income with minimal consideration for capital appreciation and usually have less exposure to more volatile growth assets.

Conservative Income – Conservative Income investors generally assume lower risk, but may still experience losses or have lower expected income returns.

Moderate Income – Moderate Income investors are willing to accept a modest level of risk that may result in increased losses in exchange for the potential to receive modest income returns.

Aggressive Income – Aggressive Income investors seek a higher level of returns and are willing to accept a higher level of risk that may result in greater losses.

GROWTH & INCOME: Portfolios emphasize a blend of current income and capital appreciation and usually have some exposure to more volatile growth assets.

Conservative Growth & Income – Conservative Growth and Income investors generally assume a lower amount of risk, but may still experience losses or have lower expected returns.

Moderate Growth & Income – Moderate Growth and Income investors are willing to accept a modest level of risk that may result in increased losses in exchange for the potential to receive modest returns.

Aggressive Growth & Income – Aggressive Growth and Income investors seek a higher level of returns and are willing to accept a higher level of risk that may result in greater losses.

GROWTH: Portfolios emphasize capital appreciation with minimal consideration for current income and usually have significant exposure to more volatile growth assets.

Conservative Growth – Conservative Growth investors generally assume a lower amount of risk, but may still experience increased losses or have lower expected growth returns.

Moderate Growth – Moderate Growth investors are willing to accept a modest level of risk that may result in significant losses in exchange for the potential to receive higher returns.

Aggressive Growth – Aggressive Growth investors seek a higher level of returns and are willing to accept a high level of risk that may result in more significant losses.

Trading & Speculation: Trading and Speculation investors seek out maximum return through a broad range of investment strategies, which generally involve a high level of risk, including the potential for unlimited loss of investment capital.

Standing Instructions

Stock Instructions

- 1 Register in customer name and mail
- 4 Register in street name and hold
- 5 DVP

Trade Balance Instructions

- A Pay net credit balance
- B Pay and Pay
- C Hold all balances

Dividend Instructions

- 1 Into Free Credit
- 3 Semi-Weekly
- 5 Monthly
- 6 Credit Type 2 Pay Type 1 Semi-Weekly
- 7 Credit Type 2 Pay Type 1 Monthly

Dividend Reinvestment

- A Reinvest all trades for this account. All current positions and future trades for eligible positions will be reinvested automatically.
- C Cash dividends will be paid for this account unless the security is coded for reinvestment on **RDIV**.
- N Dividends will not be reinvested for this account; cash dividends will be paid for all new trades. Note: **RIN** default.
- R Dividends will be reinvested for all new trades for this account, unless the security is coded for cash dividends on **RDIV**.

Account Category Codes

- 101 Individual US Citizen/Resident Alien
- 102 Sole Proprietorship
- 103 Guardian/Conservator/Committee
- 104 Joint
- 105 Prime Broker
- 106 C-Corporation/S-Corporation
- 107 Limited Liability Company
- 108 Estate
- 112 Partnership
- 113 Bank/Trust Company/Credit Union
- 114 Traditional/Roth IRA
- 115 SEP IRA/SIMPLE IRA
- 116 Investment Club
- 117 Insurance Company
- 118 Mutual Fund/Money Manager
- 119 Personal Trust
- 122 Non-Corporate/Religious/Non-Profit
- 123 Uniform Gift/Transfer to Minor
- 126 Outside Custodian IRA
- 128 Municipal/Government/Public Funds

- 131 Personal DVP
- 132 Education Savings Account
- 133 403(b) Retirement Account
- 140 Individual Non-Resident Alien, with Treaty
- 141 Individual Non-Resident Alien, no Treaty
- 142 Custodian for Non-Resident Alien, with Treaty
- 143 Custodian for Non-Resident Alien, no Treaty

Table 1

A	- \$0 - \$49,999
B	- \$50,000 - \$99,999
C	- \$100,000 - \$199,999
D	- \$200,000 - \$499,999
E	- \$500,000 - \$999,999
G	- \$1,000,000 - \$4,999,999
H	- \$5,000,000 - \$9,999,999
I	- \$10,000,000 or more
X	- Client did not provide

Cost Basis Election Codes

- F FIFO - First In First Out** - If the account is set up for First In First Out, the first security purchased is assumed to be the first security sold. If the trade requires additional units to be closed, the process will be repeated sequentially until the required number of shares is reached.
- L LIFO - Last In First Out** - If the account is set up for Last In First Out, the most recent tax lot purchased will be the first closed. If the trade requires additional units to be closed, the process will be repeated sequentially until the required number of shares is reached.
- H HIFO - Highest In First Out** - If the account is set up for Highest In First Out, the tax lot with the highest cost basis will be the first closed. If the trade requires additional units to be closed, the process will be repeated sequentially until the required number of shares is reached.
- C LOFO - Lowest Cost First Out** - If the account is set up for Lowest Cost First Out, the tax lot with the lowest unit cost will be closed first, regardless of the holding period. If the trade requires additional units to be closed, the process will be repeated sequentially until the required number of shares is reached.
- S HCST - Highest Cost Short Term** - If the account is set up for Highest Cost Short Term, the process will pick only the short-term tax lots and the tax lot with the highest unit cost will be closed first. If the trade requires additional units to be closed, the process will be repeated sequentially until the required number of shares is reached. If no short-term lots are found, or if the number of short-term units is insufficient to cover the sale, the process will look at long-term lots and continue to close HCLT.
- T HCLT - Highest Cost Long Term** - If the account is set up for Highest Cost Long Term, the process will pick only the long-term tax lots and the tax lot with the highest unit cost will be closed first. If the trade requires additional units to be closed, the process will be repeated sequentially until the required number of shares is reached. If no long-term lots are found, or if the number of long-term units is insufficient to cover the sale, the process will look at the short-term lots and continue to close HCST.
- R LCLT - Lowest Cost Long Term** - If the account is set up for Lowest Cost Long Term, the process will pick only the long-term tax lots and the tax lot with the lowest unit cost will be closed first. If the trade requires additional units to be closed, the process will be repeated until the required number of shares is reached. If no long-term lots are found, or if the number of long-term units is insufficient to cover the sale, the process will look at the short-term lots and continue to close LCST.
- M LCST - Lowest Cost Short Term** - If the account is set up for Lowest Cost Short Term, the process will pick only the short-term tax lots and the tax lot with the lowest unit cost will be closed first. If the trade requires additional units to be closed, the process will be repeated sequentially until the required number of shares is reached. If no short-term lots are found, or if the number of short-term units is insufficient to cover the sale, the process will look at the long-term lots and continue to close LCLT.

Average Cost Basis Accounting Codes

- N** No Average Cost on Mutual Funds, accounting is lot by lot.
- O** All; Post-Effective Date, All mutual fund tax lots acquired after 1/1/2012 will be averaged.
- M** Mixed/Specific Security, Client will specify which mutual fund securities they hold will get average cost basis methodology applied.

Government ID Description - Provide two forms of government ID in all cases except when choosing Passport (PP) or non-documentary (ND).

AI Articles of Incorporation	EC Employer ID Card	PA Partnership Agreement
AO Articles of Organization – LLC	ED Estate/Court Documents	PC Permanent Resident Card
AR Adoption Record	FD Foreign Issued ID – Non-Driver	PP Passport
BC Birth Certificate	FL Foreign Driver's License*	RA Resident Alien ID Card (Green Card)
BD Border Crossing Card*	HC Health Insurance Card (No Medicare Card)	SC School ID Card
BL Business License	LP Life Insurance Policy	ST State ID Card
BV B1B2 Visa	MD Marriage or Divorce Record	TI Tribal ID
CD Court Document	MR Armed Forces	TP Trustee Certification of Investment Powers
CE Cedula	ND Non-Documentary	TR Trust Document
CI Consular ID Card	NI National ID Card	
DL Driver's License	PA Partnership Agreement	
EA Employment Authorization Card	OA Operating Agreement	

** If Border Crossing Card or Foreign Driver's License is selected, both Border Crossing Card and Foreign Driver's License forms of ID are required.*

Business Type/Subtype

Business and Business Subtype are required for non-individual clients to classify the entity appropriately. The business formation will determine the business and business subtype category.

Business Type Codes

- C** Corporation
- G** Govt. Unit or Agency
- I** Indian Tribal Govt.
- L** Limited Liability Co.
- N** Limited Partnership
- O** Limited Liability Partnership
- P** Partnership
- S** Sole Proprietor
- T** Trust Co.
- U** Unicorp Assn./Social/Rec/Civic Group/Non-Profit

Business Subtype Codes

- BT** Business Trust
- CM** Multinational Corp.
- CO** Corporation
- DM** Domestic
- FD** Federal
- FN** Foreign
- GP** General Partnership
- JV** Joint Venture Partnership
- LL** Limited Liability Partnership
- LO** Local
- PC** Professional Corp.
- PL** Professional Limited Liability Partnership
- ST** State

Exchange

For entities that are publicly traded, the exchange where the entity trades must be indicated.

Sales Markets State/Country

All non-individual clients, both foreign and domestic, are required to record the specific market(s) in which they conduct business. For entities conducting business across the U.S., users are required to provide one U.S. state and may provide up to three U.S. states. For entities conducting international business, users are required to provide one country and may provide up to three countries. Certain entities may conduct business in both U.S. and international markets. In this instance, entities will be able to provide up to three U.S. states and three international countries.

- Local
- Regional
- U.S.
- International
- U.S./International

NAIC (North American Industry Classification System)

This is required for non-individual clients. NAICS codes are a standard used by Federal statistical agencies in classifying business establishments for the purpose of collecting, analyzing, and publishing statistical data related to the U.S. business economy.