

Account Information

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

(Office Use Only)

Account Registration

First Name	Middle Initial	Last Name	Salutation <input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Miss
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Correspondence to the Client will be mailed to the address below.

Address

City State ZIP + 4

Citizenship
 U.S. Citizen Resident Alien Non-Resident Alien

Country SSN/Tax ID

Home Phone Business Phone Fax Number Other Number

Account Type

Individual	Non-Individual	Margin/Cash Information
<input type="checkbox"/> Individual <input type="checkbox"/> Custodian/Minor <input type="checkbox"/> Guardian (must attach appointment) <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> IRA <input type="checkbox"/> Joint Tenants with Rights of Survivorship* <input type="checkbox"/> Tenants in Common <input type="checkbox"/> Joint Tenants - Community Property (if required by your State law) <input type="checkbox"/> Tenants by Entirety (if permitted by your State law) <input type="checkbox"/> 403(b) Retirement Plan	<input type="checkbox"/> Corporate <input type="checkbox"/> Non-Corporate/Non-Profit <input type="checkbox"/> Trust <input type="checkbox"/> Partnership <input type="checkbox"/> Investment Club <input type="checkbox"/> Estate (Certificate of Qualification must be attached/ Affidavit of Domicile must be provided) <input type="checkbox"/> LLC <input type="checkbox"/> Other: _____ <input type="checkbox"/> Pension or Profit-Sharing Plan (IRAs and ESOPs are not eligible)	<input type="checkbox"/> Margin <input type="checkbox"/> Cash

*If two or more owners, Joint Tenants with Rights of Survivorship will be selected automatically if you fail to select one of the above.

Check One: Trustee Directed Participant Directed Prototype
 Other:

Standing Instructions

Please see following pages for code definitions.

Stock Instructions	Trade Balance Instructions	Dividend Instructions	<input type="checkbox"/> Hold Principal	Dividend Reinvest (RIN)	Money Market Instructions <input type="checkbox"/> Cash <input type="checkbox"/> Re-Invest	Category Code	Trans Level 001
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Other Brokerage Accounts? Yes No If "Yes", Firm Names: _____

Cost Basis Elections

Please see following pages for code definitions.

Tax Lot Relief Method *The default method is FIFO (First In First Out)*

<input type="checkbox"/> F - FIFO	<input type="checkbox"/> H - HIFO	<input type="checkbox"/> S - HCST	<input type="checkbox"/> R - LCLT
<input type="checkbox"/> L - LIFO	<input type="checkbox"/> C - LOFO	<input type="checkbox"/> T - HCLT	<input type="checkbox"/> M - LCST

Investment Objectives

Please see following pages for code definitions.

Choose One in each column	Investment Objective	Risk Tolerance	Internal Use Only	A	C
<input type="checkbox"/> Income	<input type="checkbox"/> Growth & Income	<input type="checkbox"/> Conservative		Income + Cons.	Growth + Mod.
<input type="checkbox"/> Growth	<input type="checkbox"/> Trading & Speculation	<input type="checkbox"/> Moderate		Income + Mod.	Growth + Long Term
		<input type="checkbox"/> Long Term		Income + Long Term	Growth & Inc + Cons.
				Trading & Speculation	Growth & Inc + Mod.
				Growth + Cons.	K Growth & Inc + Long Term

Additional Account Authorization

Additional Documentation is Required. DOCT

Will anyone else have authority over this account? Yes No If "Yes", indicate type of Power of Attorney (POA):

Full Limited Discretionary

POA Name: _____

Person of Interest / High Risk Indicators

US 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"/> NON-GOVT ORG (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)

US Individual (Select all that apply.) PEP (1A) NOT APPLICABLE (00)

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"/> TRAVEL AGENT (6A)
<input type="checkbox"/> FFI (6L)	<input type="checkbox"/> FOREIGN TRUST (6I)	<input type="checkbox"/> MONEY SERVICE BUS (6D)
<input type="checkbox"/> FOR FIN INTERMEDIARY (6M)	<input type="checkbox"/> GEM/PREC MTL DLRS (6C)	<input type="checkbox"/> NON-GOVT ORG (6K)
<input type="checkbox"/> FOR OPERATING CO (6G)	<input type="checkbox"/> GUN DLR/FIREARMS (6F)	<input type="checkbox"/> PEP-FOREIGN (6N)

Foreign Individual (Select all that apply.) FOR FIN INTERMEDIARY (3B) PEP (3A) NON-RESIDENT ALIEN (3C) NOT APPLICABLE (00)

Occupation/Title:

<input type="checkbox"/> A-Proprietor, Professional, Manager	<input type="checkbox"/> B-Info Tech Sys	<input type="checkbox"/> C-Craftsman, Skilled Worker	<input type="checkbox"/> D-Sales	<input type="checkbox"/> N-Student
<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"/> E-Admin, Clerical
<input type="checkbox"/> K-Other* (*Business Nature code is required.)	<input type="checkbox"/> L-Unemployed	<input type="checkbox"/> M-Retired (If retired, complete questions based on the firm from which you retired.)		<input type="checkbox"/> J-Clergy
				<input type="checkbox"/> P-Homemaker

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(Office Use Only)

Primary Account Owner Information				DAML (screen1)	
ENTER LEGAL RESIDENCE IF DIFFERENT FROM REGISTRATION ADDRESS • Cannot be a P.O. Box				Name Type: <input type="checkbox"/> Individual <input type="checkbox"/> Non-Personal	
Primary Owner First Name		Middle Initial	Last Name		
Same Name & Address as Page 1 <input type="checkbox"/>					
City				State	ZIP + 4
Country of Citizenship		Country of Residency		Government ID	#
State of Issue		Issue Date		Expiration Date	
Birth Date		Employer Name (If Retired, complete questions based on firm from which retired.)			
Employer Address					
City				State	ZIP + 4
Occupation Code	Business Nature	Years at Current Employer	Source of Funds	Other	
Position					
Financials					
Code Amount Range		Code Amount Range		Enter the appropriate code from left and use combined figures for joint accounts.	
A	\$0 - \$49,999	E	\$500,000 - \$999,999	Annual Income (All Sources)	Net Worth (Excluding Residence)
B	\$50,000 - \$99,999	G	\$1,000,000 - \$4,999,999		
C	\$100,000 - \$199,999	H	\$5,000,000 - \$9,999,999		
D	\$200,000 - \$499,999	I	\$10,000,000 or more		

Primary Account Holder Demographics				DAML (screen 1)			
Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Divorced <input type="checkbox"/> Widowed <input type="checkbox"/> Domestic Partner				Number of Dependents		Education Level	
Spouse's Name				Spouse's Date of Birth		Spouse's SSN	
Email Address							
Tax Bracket		Primary Acct for Householding		Initial Deposit Amount		Initial Transaction Type	
Investment Experience		Indicate Years of Experience for each category		Years		Years	
		Stocks		Bonds		Options	
				Mutual Funds		Annuities/ Life Insurance	
						Unit Trust	

Additional Account Information			
FINRA Information		Is Client, Client's Spouse or immediate relative employed by Introducing Firm or another FINRA Member or any other financial services company? <input type="checkbox"/> Yes <input type="checkbox"/> No	
		If "Yes", enter Class Code <input type="text"/>	
		Class Code <input type="text"/>	
		RULE 144: Is authorized person, or member of their immediate family a director, policy-making officer, or 10% stockholder in any publicly traded company? <input type="checkbox"/> Yes <input type="checkbox"/> No	
		If "Yes", indicate company ticker symbol or name. <input type="text"/>	
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? <input type="checkbox"/> Yes <input type="checkbox"/> No			
It is important the information provided is valid and correct.			
Is the client or any party associated with the account a politically exposed person? <input type="checkbox"/> Yes <input type="checkbox"/> No			
"Politically Exposed Person" is defined as follows: (i) A senior official in the executive, legislative, administrative, military, or judicial branches of a foreign ("non-US") government, a senior official of a major foreign political party, or a senior executive of a foreign government-owned corporation; (ii) A corporation, business, trust or other entity that has been formed by, or for the benefit of, any senior foreign political official; (iii) An immediate family member of any such individual; (iv) A "close associate" of a senior foreign political figure who is widely and publicly known (or is actually known by the relevant covered financial institution) to maintain an unusually close relationship with any such individual, including a person who is in a position to conduct substantial domestic and international financial transactions on behalf of the senior foreign political figure.)			
Show cost basis on monthly statement? <input type="checkbox"/> Yes <input type="checkbox"/> No			

Authorized Signatures				
▶	Signature of Primary Owner (Use Black Ink)	Title if Applicable	Date	Tenants in Common Ownership * %
	X			%
	Signature 2	Title if Applicable	Date	Tenants in Common Ownership * %
	X			%

If requested, does Client want us to provide name and address to an issuer in which we hold securities in street name? Yes No *If applicable
 SEC rule 14b-1 prohibits from using name and address for any purpose other than corporate communications.

Is FA Registered in Client's State of Domicile? <input type="checkbox"/> Yes <input type="checkbox"/> No						
Internal Use	Financial Advisor Signature	FA Code	Date	Principal Approval Signature	PR Code	Date

Investment Objectives & Risk Tolerance

All investors have objectives or goals, such as seeking income, growth & income, growth, or trading or speculating. All investors also have risk tolerance, which is the amount of risk of loss they are willing and able to tolerate in order to achieve their investment goals. Although all investments involve risk, including the potential loss of principal, some securities, such as equities (stock), among others, involve more risk. Higher risk investments may have the potential for higher returns, but also have the potential for greater losses. Generally speaking, investment objectives are on a spectrum, with "Income" investors generally holding the smallest percentage of higher risk investments and "Trading and Speculation" investors holding the largest percentage of higher risk investments. Similarly, risk tolerances are on a spectrum such that an investor with a "Conservative" risk tolerance will accept less risk than an investor with a "Moderate" risk tolerance; a "Moderate" investor less than a "Long Term" investor; and a "Long Term" investor less than a "Trading & Speculation" investor. The "Long Term" investor accepts short term market volatility associated with a large proportion of higher risk investments because he or she has a long term time horizon and seeks the higher long term return potential associated with these higher risk investments.

Below are descriptions of the combined Investment Objective and Risk Tolerance, listed in order of least aggressive to most aggressive for both (Investment Objective and Risk Tolerance) categories. Please carefully consider your Investment Objective and Risk Tolerance for your account. Your selection is your representation that you meet all the criteria described in the profile.

Investment Objective - Income: Income investors seek a maximum amount of income given their risk tolerance, and are willing to forgo capital appreciation and growth of income.

Risk Tolerance- Conservative: Conservative Income investors seek the maximum amount of income consistent with a modest degree of risk. They are willing to accept a lower level of income in exchange for lower risk. Higher risk investments, such as high yield bonds and some equities, are typically not a large percentage of the account.

Risk Tolerance- Moderate: Moderate Income investors seek to balance the potential risk of capital loss with increased income potential. Higher risk investments, such as high yield bonds and some equities, may be some percentage of the account.

Risk Tolerance- Long Term: Long Term Income investors seek a significant level of income, are financially able and willing to risk losing a substantial portion of investment capital, and, due to their long term horizon or other factors, they employ higher risk, more aggressive strategies that may offer higher potential income. Higher risk investments, such as high yield bonds and some equities, may be a significant percentage of the account.

Investment Objective - Growth & Income: Growth and Income investors seek current income but also seek income and capital growth over time. These investors are willing to forgo a portion of current income in order to seek potential future growth.

Risk Tolerance- Conservative: Conservative Growth and Income investors seek the maximum growth and income consistent with a relatively modest degree of risk. They are willing to accept lower potential returns in exchange for lower risk. Equities, generally dividend paying equities, may be some percentage of the account.

Risk Tolerance- Moderate: Moderate Growth and Income investors seek to balance the risk of capital loss with higher potential growth and income. High yield bonds and equities, generally dividend paying equities, may be a significant percentage of the account.

Risk Tolerance- Long Term: Long Term Growth and Income investors seek a significant level of growth and income, are financially able and willing to risk losing a substantial portion of investment capital, and due to their long term horizon or other factors they pursue high risk, more aggressive strategies that may offer higher potential returns. High yield bonds and equities, generally dividend paying equities, may be the primary assets in the account.

Investment Objective - Growth: Growth investors do not seek account income and their primary objective is capital appreciation.

Risk Tolerance- Conservative: Conservative Growth investors seek maximum growth consistent with a relatively modest degree of risk. They are willing to accept lower potential returns in exchange for lower risk. Equities may be a significant percentage of the account.

Risk Tolerance- Moderate: Moderate Growth investors seek to balance the potential risk of capital loss with their goal of higher potential growth. Equities may be the primary asset in the account.

Risk Tolerance- Long Term: Long Term Growth investors seek a significant level of growth, are financially able and willing to risk losing a substantial portion of investment capital, and due to their long term time horizon or other factors, they employ higher risk, more aggressive strategies that may offer higher potential returns. Higher risk investments such as equities may be as much as 100% of the account.

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 potential for significant loss of investment capital.

Standing Instructions

Stock Instructions

- 1 Register in customer name and mail
- 4 Register in street name and hold
- 5 Delivery Vs. Payment

Trade Balance Instructions

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

Dividend Instructions (DIV)

- 1 Credit Account
- 3 Semi-Weekly
- 5 Mail 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 Corporation
- 107 Limited Liability Company
- 108 Estate
- 112 Partnership
- 113 Bank/Trust Company/Credit Union
- 114 FCC Traditional/Roth IRA
- 115 FCC SEP IRA/FCC SIMPLE IRA
- 116 Investment Club
- 117 Insurance Company
- 118 Mutual Fund/Money Manager
- 119 Personal Trust

- 020 WFA Prototype Retirement Plan
- 021 Retirement Trust/Pension, Profit Sharing Plan
- 122 Non-Corporate/Religious/Non-Profit
- 123 Uniform Gift/Transfer to Minor
- 125 Numbered Account
- 126 Non-FCC IRA
- 127 ERISA (Investment Advisor Use only)
- 128 Municipal/Government/Public Funds
- 131 Personal DVP
- 132 Education IRA
- 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

Class Codes Descriptions (Do not enter "N" for "No" in the Class Code field - please leave blank.)

- U Employees of Introducing Firm, their spouse, dependent children, or any other person** who is supported directly or indirectly to a material extent by the employee. Also included are accounts in which any of these individuals has a financial or beneficial control or interest such as guardian, custodian, trustee, executor, corporate or legal officer or agent, investment clubs, joint accounts or partnerships.
- V Non-dependent immediate family members of an employee of Introducing Firm which includes:** non-dependent children, parents, parents-in-law, brothers or sisters, brothers-in-law or sisters-in-law, sons-in-law or daughters-in-law, children or other persons supported directly or indirectly to a material extent by any of these individuals, and any accounts in which they have a financial or beneficial control or interest such as guardian, custodian, trustee, executor, corporate or legal officer or agent, investment clubs, joint accounts or partnerships.
- W Employees or brokers of other security firms,** their dependent accounts and accounts in which they have a financial or beneficial control or interest, such as guardian, custodian, trustee, executor, corporate or legal officer or agent, investment clubs, joint accounts or partnerships.
- X Immediate family members of employees of other security firms.** Immediate family members include: parents, parents-in-law, spouse, brothers or sisters, brothers-in-law or sisters-in-law, sons-in-law or daughters-in-law, children or other persons supported directly or indirectly to a material extent by any of these individuals, and any accounts in which they have a financial or beneficial control or interest such as guardian, custodian, trustee, executor, corporate or legal officer or agent, investment clubs, joint accounts or partnerships.

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.

Account Householding

If the new account is related to other accounts, please indicate the account number of the primary account in the household. This field acts as a reminder to input this relationship into the ALLY screen.

Government ID Codes

- | | |
|---|---|
| AI Articles of Incorporation | LP Life Insurance Policy |
| AO Articles of Organization (LLC) | MD Marriage or Divorce Record |
| AR Adoption Record | MR Military Records |
| BC Birth Certificate | PA Partnership Agreement |
| CD Court Document | PP Passport |
| DL Drivers License | RA Resident Alien ID Card (Green Card) |
| EC Employer ID Card | SC School ID Card |
| FD Foreign ID Card (e.g. Drivers License, Visa, or Green Card) | SH Sheriff |
| HC Health Insurance Card (not a Medicare Card) | ST State ID Card |
| | TR Trust Agreement or Trust Deed |

Education Level

- A** High School Graduate
- B** Post Secondary Study
- C** Two-Year Degree
- D** College Graduate
- E** Post Graduate Study
- F** Advanced Degree
- G** Other

Occupation Code

- A** Proprietor, Professional, Managerial
- B** Information Technology Systems
- C** Craftsmen, Skilled Worker
- D** Sales
- E** Administrative, Clerical
- F** Public Service
- G** Personal Service Provider
- H** Farming, Fishing, Forestry
- I** Education
- J** Clergy
- K** Other
- L** Unemployed
- M** Retired
- N** Student
- P** Homemaker
- Y** Broker Follow Up Required
- Z** Not Available

Business Nature Code

- | | |
|---------------------------------------|----------------------------------|
| A Agriculture | J Non-Profit |
| B Consumer & Business Services | K Personal Investment Co. |
| C Construction | L Real Estate |
| D Energy | M Retail |
| E Financial Services | N Technology |
| F Government | O Telecommunications |
| G Healthcare | P Transportation |
| H Industrial | Q Wholesale |
| I Media | R Other |
| | S Estate |
| | T Trust |

Source of Funds Codes

- A** Savings (from Earnings)
- B** Inheritance
- C** Business Revenue
- D** Donations (Trusts only)
- E** Sale of Business
- F** Sale of Real Estate
- G** Sale of Asset
- H** Legal/Insurance Settlements
- I** Asset Appreciation
- J** Other
- K** Associated Person

Duplicate Statements 1

Duplicate Statements 2

Duplicate Confirmations 1

Duplicate Confirmations 2

