

# New Account Information

New  Update  Sub Firm #  Branch Code  FA Code  Account Number

## Account Registration

Line 1   
 Line 2   
 Line 3   
 Line 4   
 First Name  Middle  Last   
**Correspondence to the Client will be mailed to the address below** Salutation:  Mr.  Mrs.  Ms.  
 Address Line 1   
 City  State  Zip +4  -   
 SSN or Tax ID  Citizenship:  U.S. Citizen  Non-Resident Alien  Resident Alien Country   
 Home Phone  Business Phone   
 Fax Number  Other Number

## Individual Account Types Non-Personal Account Types 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  <small>*If two or more owners, Joint Tenants with Rights of Survivorship will be selected automatically if you fail to select one of the above.</small>	<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) Check One: <input type="checkbox"/> Trustee Directed <input type="checkbox"/> Prototype <input type="checkbox"/> Participant Directed <input type="checkbox"/> Other	Margin <input type="checkbox"/> Cash <input type="checkbox"/>
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## Standing Instructions (Please see the following pages for codes to be entered)

Stock Instructions  Trade Balance Instructions  Dividend Instructions  Hold Principal  Dividend Reinvest (RIN)  Money Market Instructions  Cash  Re-Invest  Category Code  Trans Level **001**  
 Other Brokerage Accounts?  Yes  No  
 "Yes", Firm Names:

## Investment Objectives

Choose One. See reverse for definitions	Investment Objective	Risk Tolerance	Internal Use Only:
<input type="checkbox"/>	Income	<input type="checkbox"/> Conservative	<b>A</b> Income + Cons. <b>C</b> Growth + Mod.
<input type="checkbox"/>	Growth	<input type="checkbox"/> Moderate	<b>G</b> Income + Mod. <b>E</b> Growth + Long Term
<input type="checkbox"/>	Growth & Income	<input type="checkbox"/> Long Term	<b>I</b> Income + Long Term <b>B</b> Growth & Inc + Cons.
<input type="checkbox"/>	Trading & Speculation		<b>L</b> Trading & Speculation <b>D</b> Growth & Inc + Mod.
			<b>H</b> Growth + Cons. <b>K</b> 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:

## Primary Account Owner Information (Please see the following pages for codes to be entered) DAML (screen1)

ENTER LEGAL RESIDENCE IF DIFFERENT FROM REGISTRATION ADDRESS—Can not be a P.O. Box Name Type:  Individual  Non-Personal  
 Primary Owner First Name  Middle  Last   
 Same Name and Address as Part 1    
 Address Line 2   
 City  State  Zip +4  -   
 Country of Citizenship  Country of Residency  Government ID Code  #   
 State of Issue  Issue Date  Expiration Date   
 Birth Date  /  /  Employer Name If Retired, complete questions based on firm retired from.   
 Address Employer   
 City  State  Zip +4  -

# New Account Information

## Primary Account Owner Information (cont'd) (Please see the following pages for codes to be entered) DAML (screen1)

Enter Codes Occupation  Business Nature  Years at Current Employer  Source of Funds  Other:  Education Level

Financials	<u>Code</u>	<u>Amount Range</u>	<u>Code</u>	<u>Amount Range</u>	Enter the appropriate code from left and use combined figures for joint accounts.	<b>Annual Income*</b>	<b>Net Worth**</b>	<b>Liquid Assets</b>
	A	\$0 - \$49,999	E	\$500,000 - \$999,999		<input type="text"/>	<input type="text"/>	<input type="text"/>
	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				

\*All Sources \*\*Excluding Residence

Marital Status  Single  Divorced  Domestic Partner  Married  Widowed  
 Number of Dependents  Tax Bracket  Primary Acct for Householding  Initial Deposit Amount

Spouse's Name  Spouse's Date of Birth  Spouse's SSN

Email Address  Initial Transaction Type

Investment Experience *Indicate Years of Experience for each category*

<b>Stocks</b>	Years <input type="text"/>	<b>Bonds</b>	Years <input type="text"/>	<b>Options</b>	Years <input type="text"/>	<b>Mutual Funds</b>	Years <input type="text"/>	<b>Annuity/Life Ins</b>	Years <input type="text"/>	<b>Unit Trust</b>	Years <input type="text"/>
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NASD Information Is Client, Client's Spouse or immediate relative employed by Introducing Firm or another NASD Member or any other financial services company?  Yes  No  
 If "Yes", enter Class Code.

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 company ticker symbol or name.

## Additional Account Information

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?  Yes  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?  Yes  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?  Yes  No

## Signatures

➔	Signature of Primary Owner. Use Black Ink <b>X</b>	Title if Applicable	Date	Tenants in Common Ownership* %
	Signature 2 <b>X</b>	Title if Applicable	Date	Tenants in Common Ownership* %

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

Is FA Registered in Client's State of Domicile?  Yes  No

Internal Use	Financial Advisor Signature	FA Code	Date
	Principal Approval Signature	Principal Rep 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, on 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
- 120 WS Prototype Retirement Plan
- 121 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)
- 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

Government ID Codes	Occupation Code	Business Nature Code	Source of Funds Codes	Education Level
<b>AI</b> Articles of Incorporation	<b>A</b> Proprietor, Professional, Managerial	<b>A</b> Agriculture	<b>A</b> Savings (from Earnings)	<b>A</b> High School Graduate
<b>AO</b> Articles of Organization (LLC)		<b>B</b> Consumer & Business Service Co.	<b>B</b> Inheritance	<b>B</b> Post Secondary Study
<b>AR</b> Adoption Record	<b>B</b> Information Technology Systems	<b>C</b> Construction	<b>C</b> Business Revenue	<b>C</b> Two-Year Degree
<b>BC</b> Birth Certificate	<b>C</b> Craftsmen, Skilled Worker	<b>D</b> Energy	<b>D</b> Donations (Trusts only)	<b>D</b> College Graduate
<b>CD</b> Court Document	<b>D</b> Sales	<b>E</b> Financial Services	<b>E</b> Sale of Business	<b>E</b> Post Graduate Study
<b>DL</b> Drivers License	<b>E</b> Administrative, Clerical	<b>F</b> Government	<b>F</b> Sale of Real Estate	<b>F</b> Advanced Degree
<b>EC</b> Employer ID Card	<b>F</b> Public Service	<b>G</b> Healthcare	<b>G</b> Sale of Asset	<b>G</b> Other
<b>FD</b> Foreign ID Card (e.g. Drivers License, Visa, or Green Card)	<b>G</b> Personal Service Provider	<b>H</b> Industrial	<b>H</b> Legal/Insurance Settlements	
<b>HC</b> Health Insurance Card (not a Medicare Card)	<b>H</b> Unskilled Labor	<b>I</b> Media	<b>I</b> Asset Appreciation	
<b>LP</b> Life Insurance Policy	<b>I</b> Education		<b>J</b> Other	
<b>MD</b> Marriage or Divorce Record	<b>J</b> Clergy		<b>K</b> Associated Person	
<b>MR</b> Military Records	<b>K</b> Other			
<b>PA</b> Partnership Agreement	<b>L</b> Unemployed			
<b>PP</b> Passport	<b>M</b> Retired			
<b>RA</b> Resident Alien ID Card (Green Card)	<b>N</b> Student			
<b>SC</b> School ID Card	<b>P</b> Homemaker			
<b>SH</b> Sheriff	<b>Y</b> Broker Follow Up Required			
<b>ST</b> State	<b>Z</b> Not Available			
<b>TR</b> Trust Agreement or Trust Deed				

## 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.

## 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.

## Additional Ship Addresses

SHIP/MADD

### Duplicate Statements 1


### Duplicate Statements 2


### Duplicate Confirmations 1


### Duplicate Confirmations 2
