

BRANCH ACCOUNT T C RR OPEN DATE

ACCOUNT TYPE

- CASH MARGIN OPTION

ACCOUNT CLASS

- BANK PORTFOLIO BANK TRUST BUSINESS TRUST CHARITABLE ORG COLLATERAL CONSERVATOR/GUARDIAN CORPORATION CORRESPONDENT FIRM CREDIT UNION/S&L CUSTODIAN EDUCATIONAL FACILITIES (PUBLIC FUND) EDUCATIONAL FACILITIES (PRIVATE) ESCROW AGENT (NON BOA) ESTATE FOREIGN BANK FOR. CENTRAL BANK FOREIGN CORP FOREIGN CORP w/ income connected to US trade FOR. GOV ENTITY FOR. INVESTMENT ADVISOR FOREIGN JOINT FOREIGN PARTNERSHIP FOR. SOLE PROPRIETOR GOVERNMENT ENTITY (local, state or agency) INDIVIDUAL INSURANCE COMPANY INV. ADVISOR - SEC Reg. INV. ADVISOR - State Reg. INVESTMENT CLUB JT WROS JT TENANTS IN COMMON JT TENANTS IN ENTIRETY JT COMMUNITY PROPERTY LIMITED LIABILITY COMPANY MORTGAGE COMPANY MUTUAL FUNDS NASD MEMBER NO DOCUMENTS REQUIRED PARTNERSHIP PENSION FUND/PROFIT PERSONAL HOLDING CO PERSONAL INVES. CO. QUALIFIED PLAN IRA/SEP ROLLOVER REIT/COMMON TRUST FUND SOLE PROPRIETORSHIP TRUST-INDIVIDUAL TRUST-LIVING TRUST-TESTAMENTARY UNINCORPORATED ASS./FOUNDATION

NAME AND ADDRESS

Name and address grid

PRIMARY ACCOUNT HOLDER

SSN TIN US CITIZEN NON-RESIDENT STATE OF RESIDENCE COUNTRY OF RESIDENCE DATE OF BIRTH

EMPLOYER OCCUPATION NATURE OF BUSINESS BUSINESS ADDRESS CITY STATE ZIP CODE

CUSTOMER IDENTIFICATION VERIFICATION

DRIVER'S LICENSE PASSPORT GOVERNMENT ISSUED ID NUMBER STATE TYPE OF ID EXPIRES

SECONDARY ACCOUNT HOLDER

SSN TIN US CITIZEN NON-RESIDENT STATE OF RESIDENCE COUNTRY OF RESIDENCE DATE OF BIRTH

EMPLOYER OCCUPATION NATURE OF BUSINESS BUSINESS ADDRESS CITY STATE ZIP CODE

CUSTOMER IDENTIFICATION VERIFICATION

DRIVER'S LICENSE PASSPORT GOVERNMENT ISSUED ID NUMBER STATE TYPE OF ID EXPIRES

AUTHORIZED AGENT

SSN TIN US CITIZEN NON-RESIDENT STATE OF RESIDENCE COUNTRY OF RESIDENCE DATE OF BIRTH

NAME TELEPHONE HOME ADDRESS CITY STATE ZIP CODE EMPLOYER OCCUPATION NATURE OF BUSINESS BUSINESS ADDRESS CITY STATE ZIP CODE

DELIVERY

- TRANSFER & SHIP HOLD AT FIRM DVP

PAYMENT

- REMIT HOLD AT FIRM RVP

DIVIDENDS

- PAY MONTHLY HOLD AT FIRM

MONEY MARKET SWEEP

- YES NO

DVP/RVP INSTRUCTIONS

DTC INSTITUTIONAL ID AGENT AGENT INTERNAL ACCOUNT

OBJECTIVES

- AGGRESSIVE GROWTH CURRENT INCOME DIVERSIFICATION LONG TERM GROWTH SHORT TERM GROWTH SPECULATIVE STABILITY OF PRINCIPAL TAX ADVANTAGED INCOME TOTAL RATE OF RETURN

EXPERIENCE (YEARS)

- STOCKS BONDS MUTUAL FUNDS OPTIONS COMMODITIES REAL ESTATE

ANNUAL INCOME

- \$50,000 OR LESS \$50,001 to \$100,000 \$100,001 to \$200,000 \$200,001 to \$300,000 \$300,001 to \$500,000 \$500,001 to \$1,200,000 \$1,200,000 OR MORE

NET WORTH

- \$100,000 OR LESS \$100,001 to \$200,000 \$200,001 to \$500,000 \$500,001 to \$1,000,000 \$1,000,001 to \$4,999,999 \$5,000,000 to \$10,000,000 \$10,000,001 to \$30,000,000 \$30,000,001 to \$50,000,000 \$50,000,000 OR MORE

LIQUID ASSETS

- \$100,000 OR LESS \$100,001 to \$200,000 \$200,001 to \$500,000 \$500,001 to \$1,000,000 \$1,000,001 to \$4,999,999 \$5,000,000 to \$10,000,000 \$10,000,001 to \$30,000,000 \$30,000,001 to \$50,000,000 \$50,000,000 OR MORE

MARITAL STATUS

- SINGLE WIDOWED MARRIED DIVORCED

TAX BRACKET

Tax bracket grid

BANK REFERENCE

BANK ACCOUNT

INITIAL TRANSACTION

- REMIT HOLD AT FIRM RVP

PREPARER SIGNATURE REGISTERED REP SIGNATURE PRINCIPAL SIGNATURE

TELEPHONE NUMBERS

HOME BUSINESS FAX

INDUSTRY AFFILIATION

IS CUSTOMER A CORPORATE OFFICER, DIRECTOR OR 10% SHAREHOLDER OF A PUBLICLY-TRADED COMPANY? YES NO NAME OF COMPANY

IS CUSTOMER OR IMMEDIATE FAMILY MEMBER EMPLOYED BY A BROKER/DEALER, INSURANCE COMPANY, BANK, OR OTHER FINANCIAL INSTITUTION?

YES NO NAME OF COMPANY

DISCLOSURE

DOES CUSTOMER OBJECT TO DISCLOSING HIS/HER NAME, ADDRESS AND SECURITY POSITION TO REQUESTING COMPANIES IN WHICH HE/SHE IS A SHAREHOLDER?

YES NO NAME OF COMPANY

DISCRETIONARY AUTHORITY

DOES CUSTOMER GIVE DISCRETIONARY TRADING AUTHORITY TO HIS/HER REGISTERED REPRESENTATIVES?

YES NO

SOURCE

- REFERRAL ADVERTISEMENT COLD CALL DIRECT MAIL WALK-IN EXISTING CLIENT OTHER