

**Please answer every question completely or there will be a delay in opening your account.**

1. Were you referred to our firm?  Yes  No

If no, how did you learn about our firm? \_\_\_\_\_

If yes,

- a. By whom and what is their relationship to you? \_\_\_\_\_
- b. How long have you know this individual? \_\_\_\_\_
- c. How is our firm related to this individual? \_\_\_\_\_
- d. Is there a commission sharing relationship between this individual and this firm?  Yes  No

## Individual and Joint Account

2. If you are employed please list the name of the employer, nature of business and the employment date.

\_\_\_\_\_  
Employer

\_\_\_\_\_  
Employment Date (mm/dd/yyyy)

\_\_\_\_\_  
Nature of Business

3. If you are self-employed, what is the nature of your business and the source of your funds?

\_\_\_\_\_  
Nature of Business

4. If joint applicant is employed please list the name of the employer, nature of business and employment date.

\_\_\_\_\_  
Employer

\_\_\_\_\_  
Employment Date (mm/dd/yyyy)

\_\_\_\_\_  
Nature of Business

5. Please list any other sources of wealth: \_\_\_\_\_

6. Please list any the name of any businesses owned.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

7. Do you have any existing bank/broker accounts?  Yes  No

If yes, please specify.

\_\_\_\_\_  
Bank/Brokerage Name

\_\_\_\_\_  
Account Number

\$ \_\_\_\_\_  
Account Value

\_\_\_\_\_  
Bank/Brokerage Name

\_\_\_\_\_  
Account Number

\$ \_\_\_\_\_  
Account Value

**Account Activity**

8. Will any securities be transferred into this account?  Yes  No

If yes, please list the name, ticker symbol, quantity, estimated value, and original source of the securities. Are you considered an insider for any of the companies for which securities are being deposited?

Name of Security	Ticker Symbol	Quantity	Estimated Value	Original Source	Insider?
					<input type="checkbox"/> Yes <input type="checkbox"/> No
					<input type="checkbox"/> Yes <input type="checkbox"/> No
					<input type="checkbox"/> Yes <input type="checkbox"/> No
					<input type="checkbox"/> Yes <input type="checkbox"/> No
					<input type="checkbox"/> Yes <input type="checkbox"/> No
					<input type="checkbox"/> Yes <input type="checkbox"/> No
					<input type="checkbox"/> Yes <input type="checkbox"/> No
					<input type="checkbox"/> Yes <input type="checkbox"/> No

9. Other than the securities described above, describe the types of securities that are expected to be held or traded in the account.

\_\_\_\_\_

\_\_\_\_\_

10. What is the initial amount you will fund the account with and what is its source?

\$ \_\_\_\_\_ Source of Funds \_\_\_\_\_

Initial Amount

11. Do you intend to transfer funds to and from foreign countries?  Yes  No

12. If yes,

Type of Transfer	How often?	Foreign Country

**Enhanced Due Diligence**

13. Is this account a foreign bank organized under foreign law and located outside of the United States as defined by 31 C.F.R. 103.11?  Yes  No

14. If this account to be maintained for a current or former Politically Exposed Person or Foreign Public Official?  Yes  No  
 If yes, please provide the name(s) of official(s) and the official's immediate family member (including former spouses) and the related foreign political organization.

\_\_\_\_\_

15. If this account being established for the benefit of a Foreign Financial Institution?  Yes  No  
 If yes, please provide the jurisdiction/country that the foreign financial institution is incorporated or chartered.

\_\_\_\_\_

16. Have you or the person that referred you been involved in any prior or pending criminal or regulatory proceedings or any negative reputation issues (including money laundering and/or fraud)?  Yes  No

If yes, please describe: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_