

Confidential Client Household Questionnaire



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

(Office Use Only)

HOUSEHOLD MAILING ADDRESS	HOUSEHOLD LEGAL ADDRESS <small>(If different from Mailing Address, cannot be a P.O. Box)</small>
Street	Street
City / State / ZIP	City / State / ZIP

Household Annual Income: _____ **Liquid Net Worth:** _____ **Total Net Worth** (excluding residence): _____ **Other Investments:** _____

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

Tax Bracket 10% 15% 25% 28% 33% 35% Other: _____ %

Source of Funds

<input type="checkbox"/> A Savings	<input type="checkbox"/> D Donations (Trusts Only)	<input type="checkbox"/> G Sale of Asset	<input type="checkbox"/> J Other: _____
<input type="checkbox"/> B Inheritance	<input type="checkbox"/> E Sale of Business	<input type="checkbox"/> H Legal / Ins Settlement	<input type="checkbox"/> K Associated Persons
<input type="checkbox"/> C Business Revenue	<input type="checkbox"/> F Sale of Real Estate	<input type="checkbox"/> I Asset Appreciation	

ACCOUNT OWNER (A)	ACCOUNT OWNER (B)
First, Middle, Last Name	First, Middle, Last Name
Home Phone Business Phone Other Phone	Home Phone Business Phone Other Phone
Fax Number Email Address	Fax Number Email Address
Date of Birth Social Security Number/TIN	Date of Birth Social Security Number/TIN
Country of Citizenship/Registration State of Registration Permanent Resident? <input type="checkbox"/> Yes <input type="checkbox"/> No	Country of Citizenship/Registration State of Registration Permanent Resident? <input type="checkbox"/> Yes <input type="checkbox"/> No
US Non-Individual (Select up to five (5) indicators that apply to this account owner.)	US Non-Individual (Select up to five (5) indicators that apply to this account owner.)
<input type="checkbox"/> CASINO (5B) <input type="checkbox"/> GEM/PREC MTL DLRS (5C) <input type="checkbox"/> GUN DLR/FIREARMS (5E) <input type="checkbox"/> MONEY SERVICE BUS (5D) <input type="checkbox"/> FOREIGN NGO (5F) <input type="checkbox"/> PEP-FOREIGN (5G) <input type="checkbox"/> TRAVEL AGENT (5A) <input type="checkbox"/> NOT APPLICABLE (00)	<input type="checkbox"/> CASINO (5B) <input type="checkbox"/> GEM/PREC MTL DLRS (5C) <input type="checkbox"/> GUN DLR/FIREARMS (5E) <input type="checkbox"/> MONEY SERVICE BUS (5D) <input type="checkbox"/> FOREIGN NGO (5F) <input type="checkbox"/> PEP-FOREIGN (5G) <input type="checkbox"/> TRAVEL AGENT (5A) <input type="checkbox"/> NOT APPLICABLE (00)
US Individual (Select all that apply.)	US Individual (Select all that apply.)
<input type="checkbox"/> PEP (1A) <input type="checkbox"/> NOT APPLICABLE (00)	<input type="checkbox"/> PEP (1A) <input type="checkbox"/> NOT APPLICABLE (00)
Foreign Non-Individual (Select all that apply.)	Foreign Non-Individual (Select all that apply.)
<input type="checkbox"/> CASINO (6B) <input type="checkbox"/> GUN DLR/FIREARMS (6F) <input type="checkbox"/> FFI (6L) <input type="checkbox"/> MONEY SERVICE BUS (6D) <input type="checkbox"/> FOR FIN INTERMEDIARY (6M) <input type="checkbox"/> FOREIGN NGO (6K) <input type="checkbox"/> FOR OPERATING CO (6G) <input type="checkbox"/> PEP-FOREIGN (6N) <input type="checkbox"/> FOR PERS INV/HOLDING CO (6H) <input type="checkbox"/> TRAVEL AGENT (6A) <input type="checkbox"/> FOREIGN TRUST (6I) <input type="checkbox"/> NOT APPLICABLE (00) <input type="checkbox"/> GEM/PREC MTL DLRS (6C)	<input type="checkbox"/> CASINO (6B) <input type="checkbox"/> GUN DLR/FIREARMS (6F) <input type="checkbox"/> FFI (6L) <input type="checkbox"/> MONEY SERVICE BUS (6D) <input type="checkbox"/> FOR FIN INTERMEDIARY (6M) <input type="checkbox"/> FOREIGN NGO (6K) <input type="checkbox"/> FOR OPERATING CO (6G) <input type="checkbox"/> PEP-FOREIGN (6N) <input type="checkbox"/> FOR PERS INV/HOLDING CO (6H) <input type="checkbox"/> TRAVEL AGENT (6A) <input type="checkbox"/> FOREIGN TRUST (6I) <input type="checkbox"/> NOT APPLICABLE (00) <input type="checkbox"/> GEM/PREC MTL DLRS (6C)
Foreign Individual (Select all that apply.)	Foreign Individual (Select all that apply.)
<input type="checkbox"/> FOR FIN INTERMEDIARY (3B) <input type="checkbox"/> NON-RESIDENT ALIEN (3C) <input type="checkbox"/> PEP (3A) <input type="checkbox"/> NOT APPLICABLE (00)	<input type="checkbox"/> FOR FIN INTERMEDIARY (3B) <input type="checkbox"/> NON-RESIDENT ALIEN (3C) <input type="checkbox"/> PEP (3A) <input type="checkbox"/> NOT APPLICABLE (00)
Occupation, Employer and Years Employed (If retired, provide former occupation)	Occupation, Employer and Years Employed (If retired, provide former occupation)
Employer Address	Employer Address
Employer Phone	Employer Phone
Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Divorced <input type="checkbox"/> Widowed	Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Divorced <input type="checkbox"/> Widowed
How many dependents do you have (exclude self)? _____	How many dependents do you have (exclude self)? _____

Investment Experience <i>(Indicate Years of Experience for each category)</i>				Investment Experience <i>(Indicate Years of Experience for each category)</i>			
Stocks _____	Bonds _____	Options _____	Mutual Funds _____	Stocks _____	Bonds _____	Options _____	Mutual Funds _____
			Annuities/ Life Insurance _____				Annuities/ Life Insurance _____
Average Pricing <input type="checkbox"/> Yes <input type="checkbox"/> No <i>(Selecting "Yes" will establish average pricing for all order transactions in the account.)</i>							
Time Horizon <i>The expected period over which a customer plans to invest to achieve a particular financial goal.</i>							
<input type="checkbox"/> (A) Long Term (10+ years) (B) Moderate (5-10 years) (C) Intermediate (3-5 years) (D) Short Term (1-3 years) (E) Immediate (Less than 1 year)							
Liquidity Needs <i>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.</i>							
<input type="checkbox"/> (A) Significant (Primary need is liquidity) (B) Moderate (May need quick access to cash) (C) None (Have other sources of cash)							
Account Purpose and Nature							
<input type="checkbox"/> Investments		<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	
Rule 144: Are you or a member of your 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 Ticker Symbol, CUSIP or Company Name: _____				Rule 144: Are you or a member of your 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 Ticker Symbol, CUSIP or Company Name: _____			
Are you or a member of your immediate family associated with another FINRA member firm? <input type="checkbox"/> Yes <input type="checkbox"/> No				Are you or a member of your immediate family associated with another FINRA member firm? <input type="checkbox"/> Yes <input type="checkbox"/> No			
If this FA relationship is new, please provide a copy of a Government ID and complete the information below:				If this FA relationship is new, please provide a copy of a Government ID and complete the information below:			
Government ID Type		Government ID Number		Government ID Type		Government ID Number	
Expiration Date		Expiration Date		Expiration Date		Expiration Date	
Place of Issue		Date of Issue		Place of Issue		Date of Issue	

ACCOUNT CHARACTERISTICS *(photocopy page if additional accounts need to be opened)*

ACCOUNT #1		Debit Card Information <i>(If applicable)</i>	
Account Type <i>(i.e., Joint, Trust, Corporate, Estate, IRA, 529, etc.)</i>		1st Debit Card Name	# of Cards
Primary Owner / % <i>(If Tenants in Common)</i>		2nd Debit Card Name	# of Cards
Co-Owner / % <i>(If Tenants in Common)</i>		Check Information: <i>(If applicable)</i>	
Associated Person(s)		Name <i>(If different from Account Registration)</i>	
Is primary owner a registered investment adviser/company either with the SEC or state securities commission? <input type="checkbox"/> Yes <input type="checkbox"/> No		Street Address <i>(If different from Account Registration)</i>	
Does the account owner have total assets of at least \$50 million dollars? <input type="checkbox"/> Yes <input type="checkbox"/> No		City / State / ZIP	
Is this an account for a Municipal Government Entity (MGE)? <input type="checkbox"/> Yes <input type="checkbox"/> No		Phone # On Checks	
Risk Tolerance / Investment Objective <i>(select ONE)</i> <i>*Note: For an explanation of each, see Guidelines.</i>		Mail Checks to: <input type="checkbox"/> Address on Account Registration <input type="checkbox"/> Address on checks <input type="checkbox"/> Interested Party Address Name	
<input type="checkbox"/> Conservative Income <input type="checkbox"/> Moderate Growth <input type="checkbox"/> Conservative Growth <input type="checkbox"/> Long Term Income <input type="checkbox"/> Conservative Growth & Income <input type="checkbox"/> Long Term Growth <input type="checkbox"/> Moderate Income <input type="checkbox"/> Long Term Growth & Income <input type="checkbox"/> Moderate Growth & Income <input type="checkbox"/> Trading & Speculation		Check Package: <input type="checkbox"/> 40 Box Initial Package <input type="checkbox"/> 120 Box Duplicate Package <input type="checkbox"/> 120 Wallet <input type="checkbox"/> 252 Business Package (3 per page) <input type="checkbox"/> 252 Homedesk (3 per page) <input type="checkbox"/> Deposit Ticket	
Features <i>(Check box and circle option where appropriate – i.e., interest or dividends)</i> <i>*Note: If needed, account owners should contact the FA for an explanation of each.</i>		Cost Basis Elections	
<input type="checkbox"/> Direct deposit (government checks only) <input type="checkbox"/> Reinvest stock dividend <input type="checkbox"/> Periodic deposits/withdrawals to/ from bank <input type="checkbox"/> Check writing / Debit card <input type="checkbox"/> Fee Based <input type="checkbox"/> Decline Margin <input type="checkbox"/> Online account access <input type="checkbox"/> IRA distributions/contributions		Tax Lot Relief Method <i>The default method is FIFO (First In First Out)</i>	
		Election for Rights/Warrants <input type="checkbox"/> Yes <input type="checkbox"/> No <i>Apportionment (if applicable)</i>	
		Average Cost Elections <i>(If you choose N do not enter the date)</i>	
		Mutual Funds	Election Date
		Dividend Reinvestment Plans	Election Date

ACCOUNT #2		Debit Card Information (If applicable)	
Account Type (i.e., Joint, Trust, Corporate, Estate, IRA, 529, etc.)		1st Debit Card Name	# of Cards
Primary Owner / % (If Tenants in Common)		2nd Debit Card Name	# of Cards
Co-Owner / % (If Tenants in Common)		Check Information: (If applicable)	
Associated Person(s)		Name (If different from Account Registration)	
Is primary owner a registered investment adviser/company either with the SEC or state securities commission? <input type="checkbox"/> Yes <input type="checkbox"/> No		Street Address (If different from Account Registration)	
Does the account owner have total assets of at least \$50 million dollars? <input type="checkbox"/> Yes <input type="checkbox"/> No		City / State / ZIP	
Is this an account for a Municipal Government Entity (MGE)? <input type="checkbox"/> Yes <input type="checkbox"/> No		Phone # On Checks	
Risk Tolerance / Investment Objective (select ONE) <i>*Note: For an explanation of each, see Guidelines.</i>		Mail Checks to: <input type="checkbox"/> Address on Account Registration <input type="checkbox"/> Address on checks <input type="checkbox"/> Interested Party Address Name	
<input type="checkbox"/> Conservative Income <input type="checkbox"/> Moderate Growth <input type="checkbox"/> Conservative Growth <input type="checkbox"/> Long Term Income <input type="checkbox"/> Conservative Growth & Income <input type="checkbox"/> Long Term Growth <input type="checkbox"/> Moderate Income <input type="checkbox"/> Long Term Growth & Income <input type="checkbox"/> Moderate Growth & Income <input type="checkbox"/> Trading & Speculation		Check Package: <input type="checkbox"/> 40 Box Initial Package <input type="checkbox"/> 120 Box Duplicate Package <input type="checkbox"/> 120 Wallet <input type="checkbox"/> 252 Business Package (3 per page) <input type="checkbox"/> 252 Homedesk (3 per page) <input type="checkbox"/> Deposit Ticket	
Features (Check box and circle option where appropriate – i.e., interest or dividends) <i>*Note: If needed, account owners should contact the FA for an explanation of each.</i>		Cost Basis Elections	
<input type="checkbox"/> Direct deposit (government checks only) <input type="checkbox"/> Reinvest stock dividend <input type="checkbox"/> Periodic deposits/withdrawals to/ from bank <input type="checkbox"/> Check writing / Debit card <input type="checkbox"/> Fee Based <input type="checkbox"/> Decline Margin <input type="checkbox"/> Online account access <input type="checkbox"/> IRA distributions/contributions		Tax Lot Relief Method The default method is FIFO (First In First Out) _____	

ACCOUNT #3		Debit Card Information (If applicable)	
Account Type (i.e., Joint, Trust, Corporate, Estate, IRA, 529, etc.)		1st Debit Card Name	# of Cards
Primary Owner / % (If Tenants in Common)		2nd Debit Card Name	# of Cards
Co-Owner / % (If Tenants in Common)		Check Information: (If applicable)	
Associated Person(s)		Name (If different from Account Registration)	
Is primary owner a registered investment adviser/company either with the SEC or state securities commission? <input type="checkbox"/> Yes <input type="checkbox"/> No		Street Address (If different from Account Registration)	
Does the account owner have total assets of at least \$50 million dollars? <input type="checkbox"/> Yes <input type="checkbox"/> No		City / State / ZIP	
Is this an account for a Municipal Government Entity (MGE)? <input type="checkbox"/> Yes <input type="checkbox"/> No		Phone # On Checks	
Risk Tolerance / Investment Objective (select ONE) <i>*Note: For an explanation of each, see Guidelines.</i>		Mail Checks to: <input type="checkbox"/> Address on Account Registration <input type="checkbox"/> Address on checks <input type="checkbox"/> Interested Party Address Name	
<input type="checkbox"/> Conservative Income <input type="checkbox"/> Moderate Growth <input type="checkbox"/> Conservative Growth <input type="checkbox"/> Long Term Income <input type="checkbox"/> Conservative Growth & Income <input type="checkbox"/> Long Term Growth <input type="checkbox"/> Moderate Income <input type="checkbox"/> Long Term Growth & Income <input type="checkbox"/> Moderate Growth & Income <input type="checkbox"/> Trading & Speculation		Check Package: <input type="checkbox"/> 40 Box Initial Package <input type="checkbox"/> 120 Box Duplicate Package <input type="checkbox"/> 120 Wallet <input type="checkbox"/> 252 Business Package (3 per page) <input type="checkbox"/> 252 Homedesk (3 per page) <input type="checkbox"/> Deposit Ticket	
Features (Check box and circle option where appropriate – i.e., interest or dividends) <i>*Note: If needed, account owners should contact the FA for an explanation of each.</i>		Cost Basis Elections	
<input type="checkbox"/> Direct deposit (government checks only) <input type="checkbox"/> Reinvest stock dividend <input type="checkbox"/> Periodic deposits/withdrawals to/ from bank <input type="checkbox"/> Check writing / Debit card <input type="checkbox"/> Fee Based <input type="checkbox"/> Decline Margin <input type="checkbox"/> Online account access <input type="checkbox"/> IRA distributions/contributions		Tax Lot Relief Method The default method is FIFO (First In First Out) _____	

ACCOUNT #4		Debit Card Information (If applicable)	
Account Type (i.e., Joint, Trust, Corporate, Estate, IRA, 529, etc.)		1st Debit Card Name	# of Cards
Primary Owner / % (If Tenants in Common)		2nd Debit Card Name	# of Cards
Co-Owner / % (If Tenants in Common)		Check Information: (If applicable)	
Associated Person(s)		Name (If different from Account Registration)	
Is primary owner a registered investment adviser/company either with the SEC or state securities commission? <input type="checkbox"/> Yes <input type="checkbox"/> No		Street Address (If different from Account Registration)	
Does the account owner have total assets of at least \$50 million dollars? <input type="checkbox"/> Yes <input type="checkbox"/> No		City / State / ZIP	
Is this an account for a Municipal Government Entity (MGE)? <input type="checkbox"/> Yes <input type="checkbox"/> No		Phone # On Checks	
Risk Tolerance / Investment Objective (select ONE) *Note: For an explanation of each, see Guidelines.		Mail Checks to: <input type="checkbox"/> Address on Account Registration <input type="checkbox"/> Address on checks <input type="checkbox"/> Interested Party Address Name	
<input type="checkbox"/> Conservative Income <input type="checkbox"/> Moderate Growth <input type="checkbox"/> Conservative Growth <input type="checkbox"/> Long Term Income <input type="checkbox"/> Conservative Growth & Income <input type="checkbox"/> Long Term Growth <input type="checkbox"/> Moderate Income <input type="checkbox"/> Long Term Growth & Income <input type="checkbox"/> Moderate Growth & Income <input type="checkbox"/> Trading & Speculation		Check Package: <input type="checkbox"/> 40 Box Initial Package <input type="checkbox"/> 120 Box Duplicate Package <input type="checkbox"/> 120 Wallet <input type="checkbox"/> 252 Business Package (3 per page) <input type="checkbox"/> 252 Homedesk (3 per page) <input type="checkbox"/> Deposit Ticket	
Features (Check box and circle option where appropriate – i.e., interest or dividends) *Note: If needed, account owners should contact the FA for an explanation of each.		Cost Basis Elections Tax Lot Relief Method The default method is FIFO (First In First Out) _____	
<input type="checkbox"/> Direct deposit (government checks only) <input type="checkbox"/> Reinvest stock dividend <input type="checkbox"/> Periodic deposits/withdrawals to/ from bank <input type="checkbox"/> Check writing / Debit card <input type="checkbox"/> Fee Based <input type="checkbox"/> Decline Margin <input type="checkbox"/> Online account access <input type="checkbox"/> IRA distributions/contributions			

MINOR (If applicable – photocopy page if additional minors exist)		
Name of Minor #1	Social Security Number	Date of Birth
Name of Minor #2	Social Security Number	Date of Birth

RETIREMENT ACCOUNT BENEFICIARY INFORMATION (If applicable – photocopy page if additional beneficiaries exist)				
Beneficiary #1 <input type="checkbox"/> Account #1 <input type="checkbox"/> Account #2 <input type="checkbox"/> Account #3 <input type="checkbox"/> Account #4 (Please check one)				
Name	SSN or Tax ID	Date of Birth	Telephone #	% of Distribution
Street Address (Cannot be a P.O. Box)	City	State	ZIP	
Relationship (Spouse, Spouse > 10 years younger than account holder, Other) <input type="checkbox"/> Primary OR <input type="checkbox"/> Contingent (Please check one)				
Beneficiary #2 <input type="checkbox"/> Account #1 <input type="checkbox"/> Account #2 <input type="checkbox"/> Account #3 <input type="checkbox"/> Account #4 (Please check one)				
Name	SSN or Tax ID	Date of Birth	Telephone #	% of Distribution
Street Address (Cannot be a P.O. Box)	City	State	ZIP	
Relationship (Spouse, Spouse > 10 years younger than account holder, Other) <input type="checkbox"/> Primary OR <input type="checkbox"/> Contingent (Please check one)				

ASSOCIATED PERSON INFORMATION (If applicable – photocopy page if additional associated persons exist)

Person #1 Individual OR Non-Individual (Please check one)

Name or Entity Title	Association Type (i.e., POA, Trustee)	SSN or Tax ID	Date of Birth
Street Address (Cannot be a P.O. Box)	City	State	ZIP

Home Phone	Business Phone	Fax Number
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Occupation, Employer, Position and Years Employed (If retired, provide former occupation)

Country of Citizenship/Registration	State of Registration	Permanent Resident? <input type="checkbox"/> Yes <input type="checkbox"/> No
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US Non-Individual (Select up to five (5) indicators that apply to this account owner.)

<input type="checkbox"/> CASINO (5B)	<input type="checkbox"/> GEM/PREC MTL DLRS (5C)	<input type="checkbox"/> GUN DLR/FIREARMS (5E)	<input type="checkbox"/> MONEY SERVICE BUS (5D)
<input type="checkbox"/> FOREIGN NGO (5F)	<input type="checkbox"/> PEP-FOREIGN (5G)	<input type="checkbox"/> TRAVEL AGENT (5A)	<input type="checkbox"/> NOT APPLICABLE (00)

US Individual (Select all that apply.)

PEP (1A) NOT APPLICABLE (00)

Foreign Non-Individual (Select all that apply.)

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

Foreign Individual (Select all that apply.)

FOR FIN INTERMEDIARY (3B) NON-RESIDENT ALIEN (3C) PEP (3A) NOT APPLICABLE (00)

Rule 144: Is this person or a 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 Company Name: _____

Person #2 Individual OR Non-Individual (Please check one)

Name or Entity Title	Association Type (i.e., POA, Trustee)	SSN or Tax ID	Date of Birth
Street Address (Cannot be a P.O. Box)	City	State	ZIP

Home Phone	Business Phone	Fax Number
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Occupation, Employer, Position and Years Employed (If retired, provide former occupation)

Country of Citizenship/Registration	State of Registration	Permanent Resident? <input type="checkbox"/> Yes <input type="checkbox"/> No
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US Non-Individual (Select up to five (5) indicators that apply to this account owner.)

<input type="checkbox"/> CASINO (5B)	<input type="checkbox"/> GEM/PREC MTL DLRS (5C)	<input type="checkbox"/> GUN DLR/FIREARMS (5E)	<input type="checkbox"/> MONEY SERVICE BUS (5D)
<input type="checkbox"/> FOREIGN NGO (5F)	<input type="checkbox"/> PEP-FOREIGN (5G)	<input type="checkbox"/> TRAVEL AGENT (5A)	<input type="checkbox"/> NOT APPLICABLE (00)

US Individual (Select all that apply.)

PEP (1A) NOT APPLICABLE (00)

Foreign Non-Individual (Select all that apply.)

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

Foreign Individual (Select all that apply.)

FOR FIN INTERMEDIARY (3B) NON-RESIDENT ALIEN (3C) PEP (3A) NOT APPLICABLE (00)

Rule 144: Is this person or a 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 Company Name: _____

NON-INDIVIDUAL ACCOUNT OWNER		
Exchange Name	Country of Exchange	Exchange Description
Sales Market	Sales Market State(s)	Sales Market Country(ies)
Business Type: <input type="checkbox"/> Corporation <input type="checkbox"/> Division, Store, Office <input type="checkbox"/> Financial Institution <input type="checkbox"/> Govt. Unit or Agency <input type="checkbox"/> Indian Tribal Govt. <input type="checkbox"/> Limited Liability Co. <input type="checkbox"/> Limited Partnership <input type="checkbox"/> Informal Social/Recreational Group <input type="checkbox"/> Sole Proprietor <input type="checkbox"/> Trust Co. <input type="checkbox"/> Unicorp Assn./Social/Rec/Civic Group		
Business Subtype: <input type="checkbox"/> Business Trust <input type="checkbox"/> Multinational Corp. <input type="checkbox"/> Corporation <input type="checkbox"/> Domestic <input type="checkbox"/> Federal <input type="checkbox"/> Foreign <input type="checkbox"/> General Partnership <input type="checkbox"/> Joint Venture Partnership <input type="checkbox"/> Limited Liability Partnership <input type="checkbox"/> Local <input type="checkbox"/> Professional Corp. <input type="checkbox"/> Professional Limited Liability Partnership <input type="checkbox"/> State		
NAIC Industry (Select up to 3): <input type="checkbox"/> Agriculture, Forestry, Fishing and Hunting <input type="checkbox"/> Mining <input type="checkbox"/> Utilities <input type="checkbox"/> Construction <input type="checkbox"/> Food/Textile Manufacturing <input type="checkbox"/> Wood/Plastic/Glass/Chemical Manufacturing <input type="checkbox"/> Metal/Machinery Manufacturing <input type="checkbox"/> Wholesale Trade <input type="checkbox"/> Durable Goods/Housewares/Clothing/Food <input type="checkbox"/> Department Stores/General Merchandise Stores <input type="checkbox"/> Transportation <input type="checkbox"/> Warehousing and Storage <input type="checkbox"/> Information <input type="checkbox"/> Finance and Insurance <input type="checkbox"/> Real Estate Rental and Leasing <input type="checkbox"/> Professional, Scientific, and Technical Services <input type="checkbox"/> Management of Companies and Enterprises <input type="checkbox"/> Administrative and Support and Waste Management and Remediation Services <input type="checkbox"/> Educational Services <input type="checkbox"/> Health Care and Social Assistance <input type="checkbox"/> Arts, Entertainment, and Recreation <input type="checkbox"/> Accommodation and Food Services <input type="checkbox"/> Other Services (except Public Administration) <input type="checkbox"/> Public Administration		
NAIC Sub-Industry (1)*		
NAIC Sub-Industry (2)*		
NAIC Sub-Industry (3)*		

*For information regarding NAICS Industry Codes, please visit the following website <http://www.census.gov/eos/www/naics/> and use the 2012 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.

Government ID Description

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

Guidelines

Please complete all applicable fields in full.

- **Household Mailing Address and Financial Information**

Please complete the mailing address field. If the mailing address is a P.O. Box, please complete the legal address (cannot be a P.O. Box). For the financial information, please select the corresponding income and tax bracket that closely matches your own, and indicate where your funds will come from.

- **Account Owner (A) and (B)**

Please complete all fields in this section. If retired, please complete Occupation, Employer, and Years employed based on the former occupation.

Rule 144: If you or a member of your immediate family is a director, policy-making officer, or 10% stockholder in ANY publicly traded company, please be sure to indicate the ticker symbol, CUSIP, or Company Name.

FINRA: If you or a member of your immediate family is associated with Wells Fargo Advisors or any other FINRA member firm, please be sure to check the appropriate box.

- **Person of Interest/High Risk Indicator Descriptions**

U.S. Non-Individual:

CASINO (5B) - A domestic or foreign entity licensed as a casino, gambling casino, or gaming establishment under the laws of any U.S. state or foreign jurisdiction or any political subdivision of the foregoing.

GEM/PREC MTL DLRS (5C) - A domestic or foreign person or entity who purchases and sells: Jewels; Precious metals and stones; and Finished goods. This category includes, but is not limited to, jewelry, coins, and antiques.

GUN DLR/FIREARMS (5E) - A foreign or domestic based business or entity where the primary business involves the sale of guns, weapons and/or firearms.

MONEY SERVICE BUS (5D) - An agent, agency, branch or office of any person or entity located within the U.S. doing business in one or more of the following capacities: Currency dealer or exchanger; Check casher; Issuer of traveler's checks, money orders, or electronic cards with a stored monetary value; Seller or redeemer of traveler's checks, money orders, or electronic cards with a stored monetary value; Money transmitter; and The United States Postal Service (except with respect to the sale of postage or philatelic products);

That is not 25% or more owned by a Mexican casa de cambio which is a nonbank financial institution (currency exchanger) that provides a variety of financial services and is regulated by the Mexican Government.

Exception: Persons or entities (other than money transmitters) who do not exchange currency, cash checks, or issue, sell or redeem traveler's checks, money orders, or electronic cards with a stored monetary value in an amount greater than \$1,000 to any person or entity on any day in one or more transactions are not MSB(s).

FOREIGN NGO (5F) - A domestic or foreign private, nonprofit organization that pursues activities intended to serve the public good that is not funded 100% by the U.S. government. Includes charities, foundations, religious organizations and other non-profit organizations.

NGOs may provide basic social services, work to relieve suffering, promote the interests of the poor, bring citizen concerns to governments, encourage political participation, protect the environment, or undertake community development to serve the needs of citizens, organizations, or groups in one or more of the communities that the NGO operates.

PEP-FOREIGN (5G) - Foreign PEP includes: A current or former senior official in the executive, legislative, administrative, military, or judicial branches of a foreign government (whether elected or not); A senior official of a major foreign political party; A current or former senior executive of a foreign government-owned corporation; An immediate family member of any individual listed above; A "close associate" of a current or former senior foreign political figure who is widely and publicly known (or is actually known by the Firm) to maintain an unusually close relationship with this individual and is a position to conduct substantial domestic and international business. Accounts for PEPs with ties to the current Venezuelan government are prohibited.

TRAVEL AGENT (5A) - Any domestic or foreign entity who sells, as an agent, the following travel services: Airline or rail tickets; Hotel and motel reservations; Cruise reservations; and/or Some combination of those services.

NOT APPLICABLE (00)

U.S. Individual:

PEP (1A) - Foreign PEP includes: A current or former senior official in the executive, legislative, administrative, military, or judicial branches of a foreign government (whether elected or not); A senior official of a major foreign political party; A current or former senior executive of a foreign government-owned corporation; An immediate family member of any individual listed above; A "close associate" of a current or former senior foreign political figure who is widely and publicly known (or is actually known by the Firm) to maintain an unusually close relationship with this individual and is a position to conduct substantial domestic and international business. Accounts for PEPs with ties to the current Venezuelan government are prohibited.

NOT APPLICABLE (00)

Foreign Non-Individual:

CASINO (6B) - A domestic or foreign entity licensed as a casino, gambling casino, or gaming establishment under the laws of any U.S. state or foreign jurisdiction or any political subdivision of the foregoing.

FFI (6L) - Any entity that: Is organized under the laws of a foreign country; and Engages in the business of: Banking; Securities dealing; Brokerage; Investment Management; or Insurance. Note: This category includes foreign: Banks; Mutual Funds; Hedge Funds; Futures Merchant Commissions; Broker/dealers; and Insurance Companies.

FOR FIN INTERMEDIARY (6M) - Includes: A foreign individual that act as a financial liaison for its own clients, includes lawyers, accountants, investment brokers, and other third parties that act as financial liaisons for their clients; or Any entity other than a Foreign Financial Institution which is organized under the laws of a foreign country; and engages in the business of providing investment, tax or legal advice.

FOR OPERATING CO (6G) - Foreign businesses that are: Established in a country other than the United States; Are not publicly traded on a recognized U.S. exchange; and Are engaged in verifiable business activity.

FOR PERS INV/HOLDING CO (6H) - Includes legal entities: Organized under the laws of a country other than the U.S.; and Formed to hold client assets and maintain client confidentiality by opening accounts in the name of the PIC or the PHC.

FOREIGN TRUST (6I) - A trust established outside the U.S. that is governed by the laws of a jurisdiction other than the U.S.

GEM/PREC MTL DLRS (6C) - A domestic or foreign person or entity who purchases and sells: Jewels; Precious metals and stones; and Finished goods. This category includes, but is not limited to, jewelry, coins, and antiques.

GUN DLR/FIREARMS (6F) - A foreign or domestic based business or entity where the primary business involves the sale of guns, weapons and/or firearms.

MONEY SERVICE BUS (6D) - An agent, agency, branch or office of any person or entity located within the U.S. doing business in one or more of the following capacities: Currency dealer or exchanger; Check casher; Issuer of traveler's checks, money orders, or electronic cards with a stored monetary value; Seller or redeemer of traveler's checks, money orders, or electronic cards with a stored monetary value; Money transmitter; and The United States Postal Service (except with respect to the sale of postage or philatelic products); That is not 25% or more owned by a Mexican casa de cambio which is a nonbank financial institution (currency exchanger) that provides a variety of financial services and is regulated by the Mexican Government. Exception: Persons or entities (other than money transmitters) who do not exchange currency, cash checks, or issue, sell or redeem traveler's checks, money orders, or electronic cards with a stored monetary value in an amount greater than \$1,000 to any person or entity on any day in one or more transactions are not MSB(s).

FOREIGN NGO (6K) - A domestic or foreign private, nonprofit organization that pursues activities intended to serve the public good that is not funded 100% by the U.S. government. Includes charities, foundations, religious organizations and other non-profit organizations. NGOs may provide basic social services, work to relieve suffering, promote the interests of the poor, bring citizen concerns to governments, encourage political participation, protect the environment, or undertake community development to serve the needs of citizens, organizations, or groups in one or more of the communities that the NGO operates.

PEP- FOREIGN (6N) - Foreign PEP includes: A current or former senior official in the executive, legislative, administrative, military, or judicial branches of a foreign government (whether elected or not); A senior official of a major foreign political party; A current or former senior executive of a foreign government-owned corporation; An immediate family member of any individual listed above; A "close associate" of a current or former senior foreign political figure who is widely and publicly known (or is actually known by the Firm) to maintain an unusually close relationship with this individual and is a position to conduct substantial domestic and international business. Accounts for PEPs with ties to the current Venezuelan government are prohibited.

TRAVEL AGENT (6A) - Any domestic or foreign entity who sells, as an agent, the following travel services: Airline or rail tickets; Hotel and motel reservations; Cruise reservations; and/or Some combination of those services.

NOT APPLICABLE (00)

Foreign Individual:

FOR FIN INTERMEDIARY (3B) - Includes: A foreign individual that act as a financial liaison for its own clients, includes lawyers, accountants, investment brokers, and other third parties that act as financial liaisons for their clients; or Any entity other than a Foreign Financial Institution which is organized under the laws of a foreign country; and Engages in the business of providing investment, tax or legal advice.

PEP (3A) - Foreign PEP includes: A current or former senior official in the executive, legislative, administrative, military, or judicial branches of a foreign government (whether elected or not); A senior official of a major foreign political party; A current or former senior executive of a foreign government-owned corporation; An immediate family member of any individual listed above; A "close associate" of a current or former senior foreign political figure who is widely and publicly known (or is actually known by the Firm) to maintain an unusually close relationship with this individual and is a position to conduct substantial domestic and international business. Accounts for PEPs with ties to the current Venezuelan government are prohibited.

NON-RESIDENT ALIEN (3C) - An alien is any individual who is not a U.S. citizen or U.S. national.

NOT APPLICABLE (00)

FA Relationship: If the client's relationship with the financial advisor is new, a copy of the client's Government ID is needed, and this section must be completed.

• **Cost Basis Elections Descriptions:**

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 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 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 Characteristics**

Please complete all fields in this section for each account within the household.

Risk Tolerance / Investment Objective

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.

• **Features**

Please check the appropriate boxes if you currently have, or would like to have, any of these account features.

• **Debit Card and Check Information**

Please complete these sections if you currently have or would like to have checks and/or debit cards.

• **Minors**

Please complete this section if you have custodial accounts, 529 plans, or Education IRAs.

• **Retirement Account Beneficiary Information**

Only complete this section if you have retirement accounts (Traditional IRA, ROTH IRA, Education IRA, SEP, SIMPLE, etc.).

• **Associated Person Information**

This information must be provided for each person associated with your accounts (i.e., POAs, Trustees, Corporate Officers, etc.).

• **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
- D** Division, Store, Office
- F** Financial Institution
- G** Govt. Unit or Agency
- I** Indian Tribal Govt.
- L** Limited Liability Co.
- N** Limited Partnership
- R** Informal Social/Recreational Group
- S** Sole Proprietor
- T** Trust Co.
- U** Unicorp Assn./Social/Rec/Civic Group

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.

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