



New Account Application

<input type="checkbox"/> Cash	Office	No.	Cash/Ck	Mgn/Ck	A.E.	<input type="checkbox"/> Tax I.D. or <input type="checkbox"/> S.S.
<input type="checkbox"/> Margin						Applicant
<input type="checkbox"/> Options						Co-Applicant

Hold is currently selected. Please check a box if instruction is other than Hold

0 Cfm 1 Strm	Money <input type="checkbox"/> (1) Pay	Securities <input type="checkbox"/> (1) T&S	Dividends <input type="checkbox"/> (1) Pay
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Investment Growth (capital appreciation with risk) Speculative (long-term high risk) Trading Profits (short-term high risk)
 Objectives Income (use proceeds of Account as a source of income) Safety of Principal (long-term appreciation with limited risk)

Enter the Legal Name and Mailing Address on the next 6 lines

Prefix	First Name	Middle Name	Last Name	Suffix	<input type="checkbox"/> This is the HOME address
Prefix	First Name	Middle Name	Last Name	Suffix	<input type="checkbox"/> This is the BUSINESS address (be sure to include the home address in "Comments")

Street Address

Street Address

Street Address

City or for International accounts, City, Country, etc.

Home Tel. No.	Business Tel. No.	Date of Birth
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Employee of Person? <input type="checkbox"/> Yes <input type="checkbox"/> No	Employee Related? <input type="checkbox"/> Yes <input type="checkbox"/> No	Name of Employee and Relationship	U.S. Citizen? <input type="checkbox"/> Yes <input type="checkbox"/> No	If No, specify country of Citizenship
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Employment	Employers Name	Est. Annual Income	Years Employed
	Employers Address		
	Nature of Business	Occupation	Retired (indicate former occupation and employer)

Co-Applicant	Co-Applicant's Name	Co-Applicant's Occupation	Co-Applicant's Date of Birth
	Co-Applicant's Address	U.S. Citizen? <input type="checkbox"/> Yes <input type="checkbox"/> No	If No, specify country of Citizenship
	City or for international accounts, City, Country etc.		State/City Zip Code
	Co-Applicant's Employer	Address of Co-Applicant's Employer	

References	Bank Name and Address	<input type="checkbox"/> Checking <input type="checkbox"/> Savings	<input type="checkbox"/> Check if verified
	Does client have accounts with other brokerage firms? <input type="checkbox"/> Yes <input type="checkbox"/> No	If YES, which firm?	If client or members of household have other accounts with us give no.s

General	Marital Status <input type="checkbox"/> Married <input type="checkbox"/> Divorced <input type="checkbox"/> Single <input type="checkbox"/> Widowed	No. of Dependents <input type="checkbox"/> Own Home <input type="checkbox"/> Rent	Net Worth (excl home)	Net Liquid Assets
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Tax	Federal Tax Bracket (Omission indicates voluntary refusal to supply) %	Annual Income	Other Tax Consideration
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Interested Party	Line 1	Line 2	Line 3
	City...or for International accounts, City, Country, etc.		State City Zip Code
	<input type="checkbox"/> None <input type="checkbox"/> Limited AE <input type="checkbox"/> Limited 3rd Party If granted, Agents name and address		

Applicant Signature	Date: / /	Initial Deposit
Co-Applicant Signature (If Applicable)	Date: / /	

Instructions:

1. Review the information that you have previously supplied to ensure that it is complete and correct.
2. Do not fill in the shaded areas. These areas are for firm use only.
3. If primary applicant has a spouse, provide all spousal information.
4. You must sign and date below. If there is a co-applicant, that individual must also sign and date below.
5. Complete the Acknowledgement page.
6. Complete other forms as needed. For example, Option Agreement, IRA, etc.

Account Category

- Individual Account
- Joint Acct. (WROS)
- Joint Acct. (Tenants-in-Common)
- Community Property Acct.
- Corporation
- Partnership
- Investment Club
- Sole Proprietorship
- Custodian Acct. (U.G.T.M.A.)
- Non-Profit/Charitable Organisation
- Recognised Religious Group
- Numbered Acct.
- Conservatorship Acct.
- Guardianship Acct.
- ERISA (Pension, Profit Sharing)
- Living Trust (intervivos)
- Testamentary Trust (u/w.o)
- Estate Acct.
- Committee
- IRA
- Keogh
- SEP
- Other

Are you now or have you ever been a corporate officer or do you now own 10% of any corporation stock?

YES NO
If yes, what corporation?

Are you an officer, director, partner, employee, or agent of any NASD member firm; or a buyer or employee of the Securities Department of an institutional investor, bank or other fiduciary organisation; or a member of the immediate family of any such person?

YES NO
If yes, specify the relationship or affiliation.