

1. ACCOUNT INFORMATION

Account Title _____

Account Number _____

Taxpayer ID Number _____

2. RELATIONSHIP INFORMATION

1. List any account numbers of any previous accounts opened by client: _____
2. How was the registered representative introduced to client (walk-in, cold call, referral, etc.)? _____
3. How long has the registered representative known the client? _____
4. Indicate the date and location of the registered representative's last personal meeting with the client: _____

Referral Information
(If applicable)

- Name of referring party (if applicable): _____
- Client's relationship to referring party: _____
- How long has the referring party known the client: _____
- Registered representative's relationship to referring party: _____
- Is there a commission-sharing or referral fee arrangement with the referring party? _____
- Duration of registered representative's relationship to referring party: _____

3. SOURCE AND ANTICIPATED USE OF FUNDS

5. Describe the type of business that will be conducted in the account. Include any products that you anticipate using (equities, bonds, mutual funds, check writing, private placements, DVP/RVP, etc.): _____
6. Will the account be depositing securities? Yes No If yes, describe the types of securities (bulletin board stocks, over the counter, etc.) that will be deposited into the account and the percentage of the account's business this activity will represent: _____
7. Initial Deposit: _____
Deposit amount Name and location of source institution
8. Does a third party own this account? Yes No If yes, explain the relationship between the third party and client: _____
9. Will there be third-party deposits or withdrawals into or from the account (checks, wire transfers, etc.): Yes No
10. What is the source of funds for this account? Check all that apply and explain.
 - Compensation (Indicate name of employer, nature of business, and employment date): _____
 - Present business ownership (List any business ownership. This information should be included regardless of whether it is client's primary source of wealth. If the source of wealth is the sale of a business, please indicate approximate date and amount of sale and the buyer.): _____
 - Other source of wealth (Please list any other sources of wealth, being as specific as possible): _____
 - Corporate account profit or loss: _____

5. SIGNATURES

Registered Representative Signature _____

Name _____

Date _____

Principal Signature
(Person conducting due diligence for introducing firm)

Name _____

Date _____