

Is any authorized party now a senior corporate officer or director, or does any authorized party own 10% or more of any publicly-traded company's stock? *

Yes No

Investment Knowledge And Experience

For each of the asset types listed below, please indicate the year client first traded and average number of trades per year

Investing In	Never Traded	Year First Traded *	Avg # Trades Per Yr*
Equities	<input type="checkbox"/>	1987	20
Options	<input type="checkbox"/>	1997	1
Fixed Income	<input type="checkbox"/>	1987	20
Mutual Funds	<input type="checkbox"/>	1987	1
Exchange Traded Funds (ETFs)	<input type="checkbox"/>	2002	10
Variable Annuities	<input checked="" type="checkbox"/>		
Real Estate (Purchase or sale of real estate property, excluding primary residence)	<input type="checkbox"/>	1987	1
Alternative Investments (Hedge Funds, Private Equity)	<input type="checkbox"/>	1987	1
Structured Products	<input type="checkbox"/>	1997	10
Foreign Currency	<input type="checkbox"/>	1997	10

USA PATRIOT Act Info

Is this account owner or participant either:*

- a senior military, governmental or political official of any country
- closely associated with or an immediate family member of such an official

Yes No

Is this account owner or participant a governmental entity.*

- Any branch, department, agency, public authority, instrumentality, board, or commission of federal, state, or local government or municipality
- An employee of a governmental entity
- A public official (ie: any person elected or appointed to a public office)
- A public pension or retirement plan or other collective government fund
- An entity that receives public funding or is otherwise controlled by a government official or body
- A government - sponsored 403(b) or 457 plan account
- None of the above

AML