

Investment	Value in \$ (Maximum Amount: 999,999,999)
<input type="checkbox"/> Mutual Funds	
<input checked="" type="checkbox"/> Exchange Traded Funds (ETFs)	5000000
<input type="checkbox"/> Real Estate Property (excluding Primary Residence)	
<input type="checkbox"/> Variable Annuities	
<input type="checkbox"/> Commodities and futures	
<input checked="" type="checkbox"/> Alternative Investments (Hedge Funds, Private Equity) Structured Products FX	5000000

Information is not entered because client either does not have other investments or declines to provide the requested information

Account Settings

Account Number * Create a short name for this account

Will the account be trading or holding non-US securities or currencies (FX)? *

Yes No

Account Due Diligence

Initial Source of Funds * Is account exempt from USA PATRIOT Act CIP? * Yes No CIP Exempt Code *

Private Banking Account * Yes No Is client a foreign bank? * Yes No

Clients Anticipated Financial Activities (Check all that apply) *

3rd Party Wire Transfers Checking Debit/ATM card None

Investment Objectives

Investment Objective(s) for this account (Check up to 2 consecutive objectives) *

Aggressive Growth: Investor is willing to accept substantial risk of loss to the portfolio to obtain growth of capital with minimal or no current income. Investor seeks return mainly from potential capital appreciation; liquidity is of no primary concern.

Growth: Investor is willing to accept increased risk of loss to the portfolio with greater exposure to the equity markets or equivalent markets. The objective is long-term growth of capital. Investor seeks return mainly from capital appreciation and/or higher yielding instruments.

Income: Investor is willing to accept some risk of loss to the portfolio with exposure to income producing securities in equity, fixed income or equivalent markets. Investor seeks return mainly from income.

Capital Preservation: Risk averse investor who is willing to accept limited risk of loss to the portfolio with limited exposure to equity markets risk or equivalent risks. The objective is capital preservation with limited potential for capital appreciation and current income. Investor seeks stability and a modest return on capital.

Time Horizon/Liquidity Needs

Clients ability to quickly and easily convert to cash all of the investments in this account without experiencing significant loss in value *

Low(Somewhat Important) Medium(Important) High(Very Important)

Time Horizon client expects to achieve the financial goals for this account (yyyy-mm-dd) *

Investment Proceeds and Money Fund Sweeps

Proceeds Disposition

Proceeds * Hold Send Transfers * Hold Send Dividends * Send Credit