

2. Account Type cont'd

EDUCATION	<input type="checkbox"/> 529 Plan FBO: _____
	<input type="checkbox"/> Education Savings Account
	▶ Minor/Ward Name: _____
	▶ DOB: ___/___/_____ ▶ Resident State: _____ ▶ Tax ID: _____ - _____ - _____ ▶ Custodian Choice for Brokerage Accounts Only: <input type="checkbox"/> Pershing LLC <input type="checkbox"/> Third Party Custodian
TRUST	▶ <input type="checkbox"/> Revocable <input type="checkbox"/> Irrevocable
	▶ Trust Date: ___/___/_____ ▶ Tax ID _____
	▶ Trust Name: _____
	▶ Trustee Name(s): _____ _____

3. Account Suitability

▶ Risk Tolerance (Check One) <input type="checkbox"/> Conservative <input type="checkbox"/> Moderately Aggressive <input type="checkbox"/> Moderately Conservative <input type="checkbox"/> Aggressive <input type="checkbox"/> Moderate	▶ Investment Objectives (Rank all that Apply from 1 (most important) to 6) <input type="checkbox"/> Capital Preservation <input type="checkbox"/> Capital Appreciation <input type="checkbox"/> Growth <input type="checkbox"/> Speculation <input type="checkbox"/> Income <input type="checkbox"/> Tax Advantage
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4. Additional Information

▶ Account Tax Status (Check One) <input type="checkbox"/> Tax Exempt <input type="checkbox"/> Non-Exempt <small>(Required for Individual Sole Proprietorship, Third Party Administrator Retirement accounts and Trust accounts)</small>
▶ Source of funds (Check One) <input type="checkbox"/> Income from Earnings <input type="checkbox"/> Gift <input type="checkbox"/> Investment Proceeds <input type="checkbox"/> Sale of Business <input type="checkbox"/> Inheritance <input type="checkbox"/> Legal Settlement <input type="checkbox"/> Pension/IRA/Ret Savings <input type="checkbox"/> Spouse/Parent <input type="checkbox"/> Lottery/Gaming Proceeds <input type="checkbox"/> Insurance Proceeds <input type="checkbox"/> Other

5. Instructions for Brokerage Account

▶ Standing Instructions: Payment <input type="checkbox"/> Hold <input type="checkbox"/> Remit Dividends/Interest <input type="checkbox"/> Credit Account <input type="checkbox"/> Send to Customer Securities Received <input type="checkbox"/> Hold in Street Name <input type="checkbox"/> Transfer to Customer and Ship Margin/Option <input type="checkbox"/> <small>(Margin Disclosure Agreement Form required)</small>	▶ Specified Money Market Fund: _____ If no money market fund is specified and the account type is eligible, funds will sweep to the Insured Deposit Program. If the account type is not eligible, the account will receive Pershing Free Credit interest. Standing Instructions and Money Market Fund are defaulted (or pre-set) for retirement accounts.
Interested Party <input type="checkbox"/> Statements <input type="checkbox"/> Confirms Name: _____ Address: _____ _____	Interested Party <input type="checkbox"/> Statements <input type="checkbox"/> Confirms Name: _____ Address: _____ _____