

## CLIENT SIGNATURE PAGE

CLIENT NAME:

ADVISOR:

CLIENT TIN:

### CUSTOMER AGREEMENT

To be signed by the Client in order to open and establish one or more Accounts.

**TO:** Royal Alliance Associates, Inc. (“BD”)  
PERSHING LLC (“Pershing”) (ALL REFERENCES TO PERSHING RELATE TO BROKERAGE ACCOUNTS ONLY)

- A. I hereby acknowledge that BD is acting as a broker-dealer only with respect to this account. BD is not acting as an advisor or fiduciary unless I have executed a separate advisory contract.
- B. In consideration of your opening and/or carrying one or more accounts on my behalf, I hereby acknowledge by my signature below that I have received, read, understand and agree to the terms set forth in the Customer Agreement of this application and the Disclosure of Credit Terms on Transactions.

**The Customer Agreement contains a pre-dispute Arbitration Provision. This Provision is contained on Page 1, Section I of the Customer Agreement and appears in bold print.**

\_\_\_\_\_  
CLIENT SIGNATURE

\_\_\_\_\_  
DATE

### W-9 INFORMATION

Under penalties of perjury, I certify that:

- 1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), **and**
- 2. I am not subject to backup withholding because: **(a)** I am exempt from backup withholding, or **(b)** I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or **(c)** the IRS has notified me that I am no longer subject to backup withholding, **and**
- 3. I am a U.S. person (including a U.S. resident alien).

**Certification Instructions.** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the Certification, but you must provide your correct TIN.

\_\_\_\_\_  
CLIENT SIGNATURE

\_\_\_\_\_  
DATE