1. **Financial Background**

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| --- | --- | --- | --- | --- |
| **Investment Experience (yrs)** | **Annual income(all sources)** | **Net worth excluding home** | **Liquid Net Worth** | **Tax Rate** |
| □ Stocks \_\_\_\_  □ Bonds \_\_\_\_  □ Options \_\_\_\_  □ M Funds/ETF \_\_\_\_  □ Alternative Products \_\_\_\_  □ Margins \_\_\_\_ | □ $0 - $24,999  □ $25,000 - $49,999  □$50,000 - $99,999  □$100,000 - $249,999  □$250,000 - $499,999  □$500,000 and over | □ $0 - $24,999  □ $25,000 - $49,999  □ $50,000 - $99,999  □ $100,000 - $249,999  □ $250,000 - $499,999  □ $500,000 and over | □ $0 - $24,999  □ $25,000 - $49,999  □ $50,000 - $99,999  □ $100,000 - $249,999  □ $250,000 - $499,999  □ $500,000 and over | □ 0 – 15%  □ 16 – 25%  □ 26 – 30%  □ 31 – 35%  □ over 35% |
| **How are you funding this account?**  □ Income □ Funds from another account□Sale of business/property □Retirement Savings □Other: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | | |

1. **Investment & Account Information**

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| **How was account acquired?**  □ Known personally (\_\_\_\_\_ years) □ Walk-in □ Transfer □ Change of RR □ Referred by: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | |
| **Investment Objectives**  □ Capital preservation □ Income □ Growth □ Retirement □ Speculation □ Short term trading | |
| **Risk Taking**  □ Conservative □ Moderately conservative □ Moderate □ Moderately aggressive □ Significant risk | |
| **Instructions**  Securities □ Hold St. Name □ Transfer & ship  Money □ Hold □ Pay  Dividends □ Hold □ Pay | **The investments in this account will be**  □ Less than 1/3 of my financial portfolio  □ Roughly 1/3 to 2/3 of my financial portfolio  □ More than 2/3 of my financial portfolio |

**ARBITRATION:** This agreement shall be governed by the laws of the State of California. It is understood that the following agreement to arbitrate constitutes a waiver of the right to seek remedies in court, including the right to a jury trial. I agree, and by opening an account for the undersigned, the broker/dealer agrees, that all controversies which may arise between us concerning any transaction or the construction, performance or breach of this or any agreement between us, whether entered into prior, on or subsequent to the date hereof, shall be determined by arbitration in accordance with the rules, then in effect, of the Code of Arbitration of the Financial Industry Regulatory Authority (FINRA). All awards hereunder shall be final and judgment upon the award rendered may be entered in any court, state or federal, having jurisdiction. As of October 28, 1993, the undersigned are prohibited from bringing class actions to arbitrations and are prohibited from attempting to enforce an agreement to arbitrate against a member of a class action.

The undersigned agree that he/she shall have authority to act on this account as if he/she alone were interested in the account, and shall be liable for any obligation arising with this account.

By my signature below, I affirm that all of my information written above is correct and true to the best of my knowledge. I further agree to advise you promptly in writing of any material changes to the information provided. By signing below, I affirm that I have received Kayan Securities’ customer information sheet, regarding payment for order flow, investor protection, explanation of terms regarding investment objectives, privacy policy, and customer complaints. I also acknowledge that I have read, understand and agree to all the terms and conditions in the Client Account Agreement (“Letter A”) and the Disclosure Statement. If I have selected Martin Accounts, I acknowledge I have read, understand and agree to all terms and conditions in the Margin Agreements. If this is a Joint account, I affirm I have read, understand and agree to all of the terms and conditions in the Client Account Agreement.

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Applicant Signature Date Co-Applicant Signature Date

x\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ x\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Print Name Print Name

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| x\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Registered Rep Signature Name Date  x\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Principal Signature Name Date  Accepted in accordance with Kayan’s policies and procedures for acceptance of account. | Written Agreements Delivered  \_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_  New Account Application Delivered  \_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_  OFAC Search: Yes No |