1. **Account Type**

□ Individual □ Joint Rights of Survivorship □ Joint Tenancy in Common □ Community Property

□ Custodial □ Corporate □ Trust □ Investment Club □ Partnership □ Non-Profit/Charitable/Religious

1. **Account Holder Information**

Primary applicant

|  |  |  |
| --- | --- | --- |
| **Full name**  | **Social Security #** | **Date of Birth** |
| **Home Address (P.O. Box unacceptable)** |
| **Mailing Address** |
| **Home Phone #** | **Business Phone #** | **E-mail address** |
| **Identification provided:** □ Driver’s license□ Passport/VisaIssuer: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ ID#: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Expiration: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| **Citizenship**□ U.S. Citizen □ Resident Alien□ Non-Resident Alien (Citizenship: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_) Country of Tax Residence: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | **Marital Status**□ Single □ Divorced□ Married □ WidowedNumber of dependents: \_\_\_\_\_\_ |
| **Employment Status**□ Employed □ Self-employed□ Retired □ Student□ Unemployed □ Other | **Employer** (if self-employed, name of business) **& length****\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_****Position/Occupation:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| **Employer Address** |
| Are you, your spouse, or any other immediate family members :.employed by the securities industry or a financial regulatory agency?If yes, name of entity: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ . 10% shareholder or policy maker of a publicly held company?If yes, name of company(symbol) : \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | □ Yes □ No□ Yes □ No |

Co-Applicant(1), authorized person on behalf of the entity(2),or trusted contact person by Rule 2165(3). Please circle (1),(2),or (3).

|  |  |  |
| --- | --- | --- |
| **Full name (Last, First)** | **Social Security #** | **Date of Birth** |
| **Home Address (P.O. Box unacceptable)** |
| **Home Phone #** | **Business Phone #** | **E-mail address** |
| **Identification provided:** □ Driver’s license□ Passport/VisaIssuer: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ ID#: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Expiration: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| **Citizenship**□ U.S. Citizen □ Resident Alien□ Non-Resident Alien (Citizenship: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_) Country of Tax Residence: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | **Marital Status**□ Single □ Divorced□ Married □ WidowedNumber of dependents: \_\_\_\_\_\_ |
| **Employment Status**□ Employed □ Self-employed□ Retired □ Student□ Unemployed □ Other | **Employer** (if self-employed, name of business) **& length****\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_****Position/Occupation:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| **Employer Address** |

**For a trusted contact person, provide name, address, phone numbers, email, and relationship.**