

New Account Worksheet

Account Classification																					
Tax Status:		US Citizen		US Non Individual		Account Type:		Indv		JTWROS		JTIC		Trust		Checks?		Yes		No	
		Resident Alien		Non-resident Alien		Cust		Roth		Trad IRA		Other				Debit Card? (fees apply)		Yes		No	
Name and Address												Customer Identity Verification									
Name												Is FA registered in the Client's state of legal address? Yes No									
Legal Address												a. Gov. ID type									
												b. Gov. ID No.									
												c. Date of Issue									
												d. Date of Expiration									
Country of Residence			City			State			Zip			e. Place of Issue									
Mailing Address (skip if same as legal)												Mailing City			Mailing State			Mailing Zip			
Home Phone			Business Phone			Cell Phone			Fax Number												
Date of Birth			Social Security Number			Email			Cash or Margin Account												
Employer Name (If Retired, Previous Employer)						Years with Employer			Should dividends be Reinvested?												
Employer Address, City, State & Zip																					
Source of Funds:		A – Savings		B – Inheritance		C – Business Revenue		D – Donations		E – Sale of Business		F – Sale of Real Estate									
		G – Sale of Asset		H – Legal / Ins Settlements		I – Asset Appreciation		J – Other		K – Associated											
Rule 144: Is authorized person, or member of their immediate family a director, policy-making officer, or 10% stockholder in any publicly traded company? Yes No If Yes, indicate Ticker Symbol, CUSIP or Name: _____																					
FINRA Insider Information: Is Client, Client's Spouse or immediate relative employed by Introducing Firm (U or V) or another FINRA Member (W or X)? Ensure you have additional required information for associated individuals. Customer not associated with FINRA firm W - Employees or brokers of other security firms, their dependent accounts and accounts in which they have a financial or beneficial control or interest U - Associate of Introducing Firm and/or dependents, family members X - Immediate family members of employees of other security firms V - Non-dependent family members of an associate of Introducing Firm																					
Occupation/Title: A-Proprietor, Manager B-Info Tech Sys C-Craftsman, Skilled Worker D-Sales E-Admin, Clerical F-Public Service G-Personal Service Provider H-Farming, Fishing, Forestry I-Education J-Clergy K-Other (Business Nature code required) L-Unemployed M-Retired (if Retired, complete questions based on retired firm.) N-Student P-Homemaker Y-Broker (follow-up required)																					
Business Nature: A-Agriculture B-Consumer & Business Services C-Construction D-Energy S-Estate E-Financial Services F-Government G-Healthcare H-Industrial I-Media J-Non-Profit K-Personal Investment Company L-Real Estate M-Retail N-Technology O-Telecommunications P-Transportation T-Trust Q-Wholesale R-Other																					
Female		Male		Single		Married		Divorced		Widowed		Own		Rent		No. of Dependents					
Suitability Data																					
Net Worth (Table 1)				Other Investments (Table 1)				Annual Income (Table 1)				Liquid Net Worth (Table 1)									
Tax Bracket:		10%		12%		22%		24%		32%		35%		37%		Other %					
Table 1																					
A - \$0 - \$49,999				B - \$50,000 - \$99,999				C - \$100,000 - \$199,999				D - \$200,000 - \$499,999									
E - \$500,000 - \$999,999				G - \$1,000,000 - \$4,999,999				H - \$5,000,000 - \$9,999,999				I - \$10,000,000 or more X-Client did not provide									
Investment Objective: A – Income & Conservative D – Growth & Income + Moderate H – Growth & Conservative L – Trading & Speculation B – Growth & Income + Conservative E – Aggressive Growth I – Aggressive Income C – Growth & Moderate G – Income & Moderate K – Aggressive Growth & Income																					
Time Horizon The expected period over which a customer plans to invest to achieve a particular financial goal. A-Long Term (10+ years) B-Moderate (5-10 years) C-Intermediate (3-5 years) D-Short Term (1-3 years) E-Immediate (Less than 1 year)																					
Liquidity Needs The extent to which a customer desires the ability or has financial obligations that dictate the need to quickly and easily convert to cash all or a portion of an investment or investments without experiencing significant loss in value from, for example, the lack of a ready market, or incurring significant costs or penalties. A – Significant (Primary Need is liquidity) B – Moderate (May need quick access to cash) C – None (Have other sources of cash)																					
Investment Experience (Indicate Years of Experience for each category)												Stocks:			Bonds:			Options:			
Annuities-Life Insurance:						Mutual Funds:															
Trusted Contact Name:												Phone:									
Address:												Relationship:									