_________**Domestic** _________**Foreign** **FOA/ID Rec'd**__________ **Date:** ____________________
_________**Cash** _________**Margin** **RR#:** ____________________

New Account Worksheet

Account Type (Choose one): ☐Individual ☐Joint Tenants in Common ☐Joint w/ Rts of Survivorship ☐Custodian
☐Estate ☐Trust (DTD _______) ☐Sole Proprietorship ☐Corporation

Account Title: ____

For all corporate accts.-- *Attention*: ________________________________Nature of Business:___________________Yrs. In Business:____

Country of Residence: ________________Country of Citizenship: ________________ Send correspondence to: ☐Business ☐Residence

Part # 1: Primary Owner Information

First Name: ________________________________ Last Name: ________________________________

Address: __________________________________ City: ____________________State: ___________ Postal Code: ______________

Phone # ( ) ______- _______ Mobile# ( )______- _______ Other # ( )_____-______E-mail address: ______________________

SS# or Tax ID #: ____ Date of Birth: ________________________________

No. of Dependents: __________ Marital Status: _____________ Educations Level: ____________________________________

Employment Information (if retired, state previous occupation, employer, business, etc.):

Employer: ____ Position: ____

Business Address: ____

Nature of Business: ____________________________________ Years There: _____ Employer Phone No.: ( )___________________

Part # 2: Co-Owner Information

First Name: ________________________________ Last Name: ________________________________

Address: __________________________________ City: ____________________State: ___________ Postal Code: ______________

Phone # ( ) ______- _______ Mobile# ( )______- _______ Other # ( )_____-______E-mail address: ______________________

SS# or Tax ID #: ____ Date of Birth: ________________________________

No. of Dependents: __________ Marital Status: _____________ Educations Level: ____________________________________

Employment Information (if retired, state previous occupation, employer, business, etc.):

Employer: ____ Position: ____

Business Address: ____

Nature of Business: ____________________________________ Years There: _____ Employer Phone No.: ( )___________________

Part # 3: Suitability Data

Annual Income: _____________ Liquid Assets ______________Net Worth: _______________ Tax Bracket: ______________

Investment Objective (Choose Only One):
☐Current Income ☐Growth & Income ☐Maximum Growth
☐Balanced ☐Growth ☐Speculation

Risk Exposure:
☐ Low ☐ Moderate
☐ Aggressive ☐ Speculative

Investment Experience (Number of Years):

Stocks ____________ Bonds ___________ Options __________ Private Placements __________ Other ____________________________

Other Brokerage Accounts: NO YES (Please list) ____

How was account acquired?
☐Cold Call _________________________
☐Customer Personally Known to RR ______________________
☐Customer Referred by: ________________________________
☐Other ____

Source of Income:
☐ Investments
☐ Compensation
☐ Retirement Assets
☐ Other __________________

Time Horizon:
☐ Short term
☐ Intermediate
☐ Long Term

Part #4: Disclosures

Is client/family member employed by FINRA member or financial institution? ☐ YES ☐ NO

Is client/authorized person or member of their immediate family an officer, director or 5% stockholder of a publicly traded company?

☐ NO ☐YES ____

Is client/family a senior foreign political figure? ☐ Yes ☐ No Bank Reference: ____

Initial Transaction: ____

RR Signature: ____

Print RR Name: ____

FINCEN Review: _____________________ **Compliance Approval:**______________________

Revised 1/15/2010