

Account Number _____

Rep ID _____ Alternate Branch _____

INSTITUTIONAL ACCOUNT INFORMATION

Client ID _____

CLIENT INFORMATION

For use with Banks/Savings and Loan, Insurance Companies, Registered Investment Companies, Registered Investment Advisors, any entity (Corporations, Partnership, Trusts, or otherwise) with total assets of at least \$50 million, and any entity with at least \$10 million invested in securities in its portfolio.

Name and Address	<input type="checkbox"/> EIN <input type="checkbox"/> SSN	
	Business Phone	Business Fax
Alert Acronym	Person Authorized to Place Orders	
Alert Access Code	Agent ID	
Institutional Number	Int A/O Number	DTC Number

FOR USE WITH DVP INSTRUCTIONS ONLY

DVP Instructions	Physical Instructions
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INTERESTED PARTIES

<input type="checkbox"/> Confirm To: <input type="checkbox"/> Statement To:	<input type="checkbox"/> Confirm To: <input type="checkbox"/> Statement To:
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Account Number _____

Rep ID _____ Alternate Branch _____

INSTITUTIONAL ACCOUNT INFORMATION

ADDITIONAL CLIENT INFORMATION

Does the Institution use a financial advisor or consultant? Yes No

If yes, list the name and address:

Does the Institution have an investment policy? Yes No

If yes, is a copy on file? Yes No

Required trading documents on file: Trading Authorization Certification of Investment Power
 Government Auth. Resolution Other: _____
 Corporate Resolution

Is this client a U.S. government entity – municipal, county, state or federal government organization? Yes No

Is this client a financial entity? Yes No

If yes, provide financial entity type.

Is this client a public company traded on a national exchange? Yes No

If yes, provide ticker symbol.

If you answered “yes” to any of the listed questions, no additional documentation is required. If you answered “no” to all of the above, you must include copies of documents that support the legal existence of this entity.

Proof of existence is established by receiving copies of legal structure documents. A copy of the following document has been included in the file:

- Articles of Incorporation
- Partnership Document (title page and signature page(s) only)
- Trust Document (title page and signature page(s) only)
- Other: _____

This Institution relies on the following to evaluate how market developments would affect the securities purchased.

- Its own research
- Bloomberg or other analytical tools
- Investment advisors
- Other (*explain*)

Total Assets <input type="checkbox"/> Less than \$50,000,000 <input type="checkbox"/> \$50,000,000 – 999,999,999 <input type="checkbox"/> \$1,000,000,000+	Invested Assets <input type="checkbox"/> Less than \$10,000,000 <input type="checkbox"/> \$10,000,000 – 999,999,999 <input type="checkbox"/> \$1,000,000,000+
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ACCOUNT INFORMATION

Does Employee have beneficial interest in the account? Yes No

Investment Objective

- Preservation of Principal/Income Balanced/Conservative Growth Growth Aggressive Growth Speculation

Account Type

- DVP/RVP Cash RBC Express Credit

Account for Client of Institution? Yes No

If yes, provide name and address.

SIGNATURES

Financial Advisor/Salesperson	Date	Firm Principal/Sales Manager	Date
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