

Account # \_\_\_\_\_

Advisor # \_\_\_\_\_

Case # \_\_\_\_\_

## INVESTMENT ADVISOR

Investment Advisor Firm (Agent) and Primary Contact:

Firm Name: \_\_\_\_\_ Primary Contact: \_\_\_\_\_

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## ACCOUNT TYPE: PLEASE CHECK THE APPROPRIATE BOX

- Individual**
- Custodian for a Minor\*** Please indicate the state of establishment: \_\_\_\_\_. If the state is left blank, the minor's state of residence will default.
- Joint Tenants with Rights of Survivorship** If one Joint owner dies, his/her interest passes to the surviving owner(s).
- Tenants in Common** \_\_\_\_\_% Owner \_\_\_\_\_% Co-owner If one Joint owner dies, his/her interest passes to his/her estate (50/50, unless otherwise noted).
- Community Property** For AZ, CA, ID, LA, NV, TX, WA, and WI only. Laws vary by state.
- Tenants by the Entireties** If one Joint owner dies, his/her interest passes to the surviving owner (Spouses only).
- Estate Decedent's account number at TD Ameritrade:** \_\_\_\_\_. Provide estate name and estate tax ID in Section 2, and the executor's information in Section 3. Include a copy of the decedent's death certificate, and a copy of the Letters of Testamentary.
- Guardianship\*\*** Please include a copy of the court certified letter of guardianship.
- Conservatorship\*\*** Please include a copy of the court certified letter of conservatorship.

\* Provide minor's information in the Primary Account Owner information portion of Section 2, and the custodian's information in the Joint Account Owner portion of Section 3. Complete the Custodian's Designation of Successor Custodian to UTMA/UGMA Account form. If the custodian dies or becomes incapacitated without designating a successor, a court certified Appointment of Successor Custodian may be required.

\*\*Additional information and/or paperwork may be required. Please contact your advisor.

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## PRIMARY ACCOUNT OWNER: COMPLETE ALL INFORMATION BELOW FOR THE PRIMARY OR MINOR ACCOUNT OWNER

Name (First, Middle Initial, Last) or Estate Name:		Social Security Number or Estate Tax ID:	Date of Birth:
Primary Telephone Number:		Secondary Telephone Number:	
Home Street Address (no PO Boxes):			
City:	State:	ZIP Code:	
Mailing Address (if different from above):			
City:	State:	ZIP Code:	
Please specify if you are: <input type="checkbox"/> Unemployed <input type="checkbox"/> Retired <input type="checkbox"/> Homemaker <input type="checkbox"/> Student Source of income (if retired or unemployed): _____			
Employer Name (if self-employed, please provide the name of your business and industry):		Occupation:	
Type of Business:			
Employer Street Address:		City:	State:
Are you a U.S. citizen or a U.S. permanent resident? <input type="checkbox"/> Yes <input type="checkbox"/> No Country of citizenship: _____			
Non-U.S. citizens: Do you hold a current U.S. immigration visa? <input type="checkbox"/> Yes <input type="checkbox"/> No Specify visa type: _____ Passport #: _____ Expiration: _____ (Nonresident aliens must submit Form W-8BEN and a copy of a current passport. If a U.S. address is listed, then attach a signed letter of instruction explaining why you have a U.S. address.)			
<input type="checkbox"/> Check here if you, a member of your immediate family, or any business associate is a senior political figure (SPF). Specify the name of the SPF, political title, relationship to Account Owner, and country of office (note that TD Ameritrade may require additional forms and information): _____			
<input type="checkbox"/> Check here if you are a director, 10% shareholder, or policy-making officer of a publicly traded company. Specify the company name, address, city, and state/province: _____			
<input type="checkbox"/> Check here if you are licensed or employed by a registered broker/dealer. Specify the company name and include a compliance letter: _____			



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**JOINT ACCOUNT OWNER: COMPLETE ALL INFORMATION BELOW FOR THE JOINT ACCOUNT OWNER OR CUSTODIAN**

Name (First, Middle Initial, Last):		Social Security Number:	Date of Birth:
Primary Telephone Number:		Secondary Telephone Number:	
Home Street Address (no PO boxes):			
City:	State:	ZIP Code:	
Mailing Address (if different from above):			
City:	State:	ZIP Code:	
Please specify if you are: <input type="checkbox"/> Unemployed <input type="checkbox"/> Retired <input type="checkbox"/> Homemaker <input type="checkbox"/> Student Source of income (if retired or unemployed): _____			
Employer Name (if self-employed, please provide the name of your business and industry):		Occupation:	
Type of Business:			
Employer Street Address:		City:	State:
Are you a U.S. citizen or a U.S. permanent resident? <input type="checkbox"/> Yes <input type="checkbox"/> No Country of citizenship: _____			
Non-U.S. citizens: Do you hold a current U.S. immigration visa? <input type="checkbox"/> Yes <input type="checkbox"/> No Specify visa type: _____ Passport #: _____ Expiration: _____			
<i>(Nonresident aliens must submit Form W-8BEN and a copy of a current passport. If a U.S. address is listed, then attach a signed letter of instruction explaining why you have a U.S. address.)</i>			
<input type="checkbox"/> Check here if you, a member of your immediate family, or any business associate is a senior political figure (SPF). Specify the name of the SPF, political title, relationship to Account Owner, and country of office (note that TD Ameritrade may require additional forms and information):			
_____			
<input type="checkbox"/> Check here if you are a director, 10% shareholder, or policy-making officer of a publicly traded company. Specify the company name, address, city, and state/province:			
_____			
<input type="checkbox"/> Check here if you are licensed or employed by a registered broker/dealer. Specify the company name and include a compliance letter:			
_____			

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**CASH SWEEP VEHICLE CHOICES (PLEASE SELECT ONLY ONE)**

- TD Ameritrade FDIC Insured Deposit Account (IDA)  
Pays interest on credit balances.
- TD Ameritrade Cash (Protected by the Securities Investor Protection Corporation (SIPC))  
Pays interest on credit balances.
- TD Asset Management USA Funds (TDAM)
- TDAM Municipal Portfolio  
Invests primarily in high-quality municipal securities that pay dividends exempt from federal income tax.
- TDAM New York Municipal Money Market Portfolio  
Invests primarily in high-quality municipal securities that pay dividends that are exempt from federal, New York state, and New York City income tax.
- TDAM California Municipal Money Market Portfolio  
Invests primarily in high-quality municipal securities that pay dividends that are exempt from federal and California state income taxes.

*NOTE: If not specified, all credit balances will automatically be swept daily to the TD Ameritrade FDIC Insured Deposit Account. See the Client Agreement for a complete description of the Cash Sweep program. An investment in a money market mutual fund is not insured or guaranteed by the Federal Deposit Insurance Corporation (FDIC) or any other government agency. Although a money market fund seeks to preserve the value of your investment at \$1 per share, it is possible to lose money by investing in a money market fund. Tax-exempt portfolios may pay dividends that are subject to the alternative minimum tax, and also may pay taxable dividends due to investments in taxable obligations. More complete information about the money market funds, including management fees and expenses, is contained in the prospectus, which can be obtained by calling your advisor. Please read the prospectus carefully before you invest or send money.*

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**DIVIDEND & INTEREST PREFERENCES (PLEASE SELECT ONLY ONE OPTION FOR DIVIDEND & INTEREST DELIVERY)**

- Please select one of the below choices. If no selection is made TD Ameritrade will default to holding all dividends and interest at TD Ameritrade.
- Hold all dividends and interest at TD Ameritrade
  - ACH all dividends and interest on the last business day of the month\*  
\*Electronic Funds Transfer Form required
  - Mail check for all dividends and interest on the last business day of the month

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**CONFIRMATION AND STATEMENT PREFERENCES**

By providing your email address, you consent to receive electronic trade confirmations and statements. Account statements and trade confirmations will be available at advisorclient.com through your user ID and login. We will send a notification to the email address you provide below when new documents are available to view and/or print.

- Monthly Paper Statements
- Monthly Electronic Statements
- Paper Trade Confirmations
- Electronic Trade Confirmations

Email Address: \_\_\_\_\_

In the event that no email address is provided or an email sent to the address above is returned as undeliverable, TD Ameritrade will send paper statements and trade confirmations to the address of record.

TD Ameritrade will provide my name to corporations whose securities I hold in my account for the purpose of additional corporate communications, unless I have checked here.

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**DUPLICATE STATEMENTS & CONFIRMS FOR AN INTERESTED PARTY**

If you would like to provide duplicate paper statements and/or duplicate paper trade confirmations to an interested party please complete the information below:

Please check all that apply  Statements  Trade Confirmations

Name:	Company Name (if any):		
Street Address:	City:	State:	ZIP Code:

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**PROXY AUTHORIZATION**

Please select one of the below choices. If no selection is made TD Ameritrade will default to sending me proxies. The Agent can only vote my proxies if they have discretion over my account.

- I would like to receive and vote on proxies.
- Agent receives and votes proxies. I hereby authorize TD Ameritrade to forward proxy soliciting materials, annual reports, and other related issuer materials, normally sent to me, to my advisor (Agent) and to allow Agent to vote Proxies on my behalf.\*
- Agent receives and votes proxies but I would like to receive informational copies. I hereby authorize TD Ameritrade to forward proxy soliciting materials, annual reports, and other related issuer materials, normally sent to me, to my advisor (Agent) and to allow Agent to vote Proxies on my behalf.\*

\* I confirm that the Agent holds discretionary authority over my account pursuant to an advisory contract with the Agent. I understand that this authorization may be rescinded at any time for any reason, by a written notice addressed to TD Ameritrade and delivered to your office. This authorization shall extend to the benefit of your successors and assigns.

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**LIMITED POWER OF ATTORNEY**

**LIMITED TO PURCHASE AND SALE OF SECURITIES, INCLUDING THE TRADING OF OPTIONS, IF APPLICABLE.**

By my initials in Section 9, and to the extent indicated herein, I hereby constitute and appoint the Advisory Firm or individual named herein as my agent and attorney-in-fact ("Agent"), to buy, sell (including short sales), and trade in stocks, bonds, and any other securities and/or contracts relating to the same on margin (if I have signed a margin agreement) or otherwise in accordance with the Client Agreement (incorporated by reference) applicable to this account held in my name, or number on your books, without notice to me. My Agent is authorized to effect such transactions in my account via any available medium, electronic access or otherwise, including but not limited to electronic access via personal computer or touch-tone phone.

If I have signed an options agreement, my Agent is specifically authorized to effect options transactions in my account, including uncovered options transactions or to uncover a covered options position for my account, as such terms are defined in the booklet "Characteristics and Risks of Standardized Options," a copy of which I have received. I hereby agree to indemnify and hold harmless TD Ameritrade, Inc. ("TD Ameritrade"), its affiliates and their directors, officers, employees, and agents from and against all claims, actions, costs, and liabilities, including attorneys' fees, arising out of or related to reliance on this authorization and to pay promptly on demand any and all losses arising there—from or debit balance due thereon. In all such purchases, sales, or trades, you are authorized to follow the instructions of my Agent in every respect concerning my account with you; and my Agent is authorized to act for me and on my behalf in the same manner and with the same force and effect as I might or could do with respect to such purchases, sales, or trades, as well as with respect to all other things necessary or incidental to the furtherance or conduct of such purchases, sales, or trades, including without limitation the delivery of securities or monies from the account in the Account Owner(s) name and the provision of securities cost basis method selection and/or information for purposes of cost basis or tax reporting.

I hereby ratify and confirm any and all transactions with you heretofore or hereafter made by my Agent for my account. This authorization and indemnity is in addition to, and in no way limits or restricts, any rights which you may have under any other agreement or agreements between me and TD Ameritrade.

If this is a fiduciary account, Account Owner(s) affirm(s) that this grant of limited trading authority has been conferred consistent with any fiduciary duties or powers of Account Owner(s).

This authorization is a continuing one and shall remain in full force and effect until (i) you are notified by a written notice delivered to TD Ameritrade of my death or incapacity or (ii) I change or revoke this authorization by a written notice to TD Ameritrade. You shall have no duty of inquiry. Until you receive such written revocation, you are entitled to act in reliance on this authorization and indemnity. Any revocation of this authorization shall have no effect on any liability which results from transactions initiated before you receive written notice of revocation. This authorization and indemnity shall inure to the benefit of your firm and of any successor firm or firms, irrespective of any change or changes at any time in the personnel thereof for any causes whatsoever, and of the assigns of your present firm or any successor firms.

**I have carefully read this power of attorney and indemnity and understand that it authorizes my Agent named herein to exercise rights and powers over my accounts as if I had exercised them myself and that my Agent's actions and instructions with respect to my accounts are fully binding on me.**

**I also understand and agree that TD Ameritrade has no duty or responsibility to monitor trading in my accounts by my Agent or to notify me prior to accepting instructions. I agree to have my Agent receive duplicate statements and trade confirmations.**

Please initial to indicate your approval. (if joint account, both parties must initial)

Primary Account Owner Initials:	Joint Account Owner Initials:	I hereby authorize the Agent listed on page 1 to execute trades in my account.
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**AUTHORIZATION TO PAY FEES TO AGENT**

By my initials in Section 10, and to the extent indicated herein, I hereby authorize TD Ameritrade to pay Agent from my account the Agent's management fees as invoiced by Agent. I also authorize TD Ameritrade to liquidate shares of any money market mutual fund I may hold in my account to the extent necessary to pay such fees. TD Ameritrade shall rely on Agent's invoices and have no responsibility for the calculation or verification of fees.

I will indemnify and hold TD Ameritrade and its affiliates, directors, officers, employees, successors, and assigns harmless from all losses, claims, damages, liabilities, and costs, including attorneys' fees, which TD Ameritrade may incur by relying upon representation of Agent or upon this authorization.

This authorization will remain in full force and effect until revoked by me by a written notice addressed and delivered to TD Ameritrade.

Please initial to indicate your approval. (if joint account, both parties must initial)

Primary Account Owner Initials: _____	Joint Account Owner Initials: _____	I hereby authorize TD Ameritrade to pay my Agent's fee from my account as directed by my Agent.
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**AGREEMENT — BY SIGNING THIS AGREEMENT, I ACKNOWLEDGE THAT:**

Under penalties of perjury, I certify (1) that the Social Security Number shown on this form is my correct taxpayer identification number, (2) that I am not subject to backup withholding, and (3) that I am a U.S. person (including a resident alien); provided, however, if I am a nonresident alien as disclosed in this application, I do not certify that I am a U.S. person, and I understand that I must submit a Form W-8BEN. If I have been notified by the IRS that I am subject to backup withholding as a result of dividend or interest underreporting, I must cross out (2) in this certification.

I acknowledge that I have received and read the Client Agreement, available at [www.advisorclient.com](http://www.advisorclient.com) or by calling 800-431-3500, that will govern my account. I agree to be bound by the Client Agreement, which may be amended from time to time and which is incorporated by this reference. I release and agree to indemnify and hold harmless TD Ameritrade Institutional from any and all liability and claims for damages resulting from any action taken pursuant to this Agreement. By my signature below, I attest that I am of legal age to contract and that the information contained in this application is true and correct. I hereby request, subject to acceptance by TD Ameritrade Institutional, an account as indicated in Section 1 be opened in the name(s) set forth below.

If I have requested an options account, I agree to be bound by the Client Agreement and any supplemental options agreements that will govern my account applicable to the trading of options contracts. I agree to abide by the rules of the listed options exchanges and the Options Clearing Corporation and will not violate current position and exercise limits. I am aware of the risks involved in options trading and represent that I am financially able to bear such risks and withstand options-trading losses.

All securities, dividends, and proceeds will be held at TD Ameritrade Clearing, Inc. (the "Clearing Firm"), unless otherwise instructed.

I understand that TD Ameritrade Institutional may obtain a current consumer or credit report to determine my eligibility, or continuing eligibility, for credit or for other legitimate business purposes. Any decision by TD Ameritrade Institutional to extend credit may be based on information contained in a consumer or credit report, as well as the policies of TD Ameritrade Institutional and the Clearing Firm.

I understand that TD Ameritrade Institutional may relate information regarding this account, including account delinquency and voluntary closures, to consumer or credit reporting agencies. Upon my request, TD Ameritrade Institutional shall inform me of each consumer or credit reporting agency from which they have obtained and/or reported my consumer or credit report. TD Ameritrade Institutional agrees to notify the consumer or credit reporting agencies if I dispute the completeness or accuracy of the information furnished by TD Ameritrade Institutional. By my signature below, I authorize TD Ameritrade Institutional to obtain consumer or credit reports for the name(s) set forth below.

**Unless specified otherwise, I understand that non-deposit investments purchased through TD Ameritrade Institutional are not insured by the Federal Deposit Insurance Corporation (FDIC), are not obligations of or guaranteed by any financial institution, and are subject to investment risk and loss that may exceed the principal invested.**

**Important information about procedures for opening a new account: To help the government fight the funding of terrorism and money laundering activities, federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account.**

**What this means for you: When you open an account, we will ask for your name, address, date of birth, and other information that will allow us to identify you. We may also utilize a third-party information provider for verification purposes and/or ask for a copy of your driver's license or other identifying documents.**

**Successors and Heirs.** This Authorization supplements and in no way limits or restricts rights which TD Ameritrade Institutional and the Clearing Firm may have under any other agreement with me. This Authorization will bind my heirs, executors, administrators, successors, and assigns and will benefit TD Ameritrade Institutional and the Clearing Firm's successors and assigns.

**The Client Agreement applicable to this brokerage account agreement contains predispute arbitration clauses. By signing this agreement, the parties agree to be bound by the terms of the agreement, including the arbitration agreement located in section 12 of the Client Agreement. The Internal Revenue Service does not require your consent to any provision of this document other than the certification required to avoid backup withholding.**

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**ACCOUNT OWNER(S) SIGNATURE:**

Primary Account Owner's Printed Name: \_\_\_\_\_

Primary Account Owner's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Joint Account Owner's Printed Name: \_\_\_\_\_

Joint Account Owner's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Mailing Address:  
**TD Ameritrade Institutional**  
PO BOX 919094  
San Diego, CA 92191-9094

Overnight Address:  
**TD Ameritrade Institutional**  
5010 Wateridge Vista Drive  
San Diego, CA 92121-5775

TDAI 9017 REV. 05/13

Investment Products: Not FDIC Insured \* No Bank Guarantee \* May Lose Value