

Joint Owner/Associated Person Information

Sub Firm #	BR Code	FA Code	Account Number
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

(Office Use Only)

New
 Update

Joint Owner or Associated Person Information

Please indicate if person is an Owner or an Associated Person: Owner Associated Person Name Type: Individual Non-Personal

Name

Entity Title or Additional Line

Address Line 1

Address Line 2

City State ZIP

Country of Citizenship/Registration Country of Residency

Government ID Type	Government ID Number	Date of Issue	Expiration Date	Place of Issue
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Second Government ID Type	Second Government ID Number	Date of Issue	Expiration Date	Place of Issue
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

State of Registration Permanent U.S. Resident? Yes No

Salutation Mr. Mrs. Ms. Marital Status Single Married Divorced Widowed

SSN or Tax ID Birth Date Education Level Number of Dependents not included in Primary Account Holder information

Additional Account Information

FINRA Information Is Client, Client's Spouse or immediate relative employed by Introducing Firm or another financial services company? Yes No If "Yes," enter Class Code

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 company ticker symbol or name.

If Class Code "W," indicate Name of other registered broker-dealer firm

Has the Broker advised the party establishing this account that information collected on parties associated with this account is subject to verification as mandated by the USA PATRIOT Act and outlined in our Client Identification Program? Yes No

It is important the information provided is valid and correct.

Show cost basis on monthly statement? Yes No

Home Phone Business Phone Fax Number Other Number

Employer Name Position Years at Current Employer

Employer Address

City State ZIP

Code	Amount Range	Code	Amount Range
A	\$0 - \$49,999	E	\$500,000 - \$999,999
B	\$50,000 - \$99,999	G	\$1,000,000 - \$4,999,999
C	\$100,000 - \$199,999	H	\$5,000,000 - \$9,999,999
D	\$200,000 - \$499,999	I	\$10,000,000 or more

Enter the appropriate code from left and use Joint Owner or Associated Person figures only.

Annual * Income	Net ** Worth	Liquid Assets	Tax Bracket
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

*All Sources ** Excluding Residence

Investment Experience: Indicate Years of Experience for Each Category

Bonds	Years <input type="text"/>	Stocks	Years <input type="text"/>	Options	Years <input type="text"/>	Mutual Funds	Years <input type="text"/>	Annuities/Life Insurance	Years <input type="text"/>	Unit Trust	Years <input type="text"/>
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Other Brokerage Accounts? Yes No If "Yes," Firm Names:

Authorized Signature

I have read the above information and confirm that it is accurate to the best of my knowledge.

Joint Owner or Associated Person Signature	Date
X	<input type="text"/>

Account(s) carried by First Clearing. First Clearing is a trade name used by Wells Fargo Clearing Services, LLC, a registered broker-dealer and non-bank affiliate of Wells Fargo & Company.

For the categories of personal data that Wells Fargo Clearing Services, LLC (WFCS) may collect and how we use it, see the Wells Fargo California Consumer Privacy Act Notice at Collection at Wells Fargo Clearing Services, LLC > Home (wellsfargoclearingservicesllc.com). See additional WFCS privacy notices at Wells Fargo Clearing Services, LLC > Home (wellsfargoclearingservicesllc.com).

Non-Individual Account Owner		
Exchange Name		Country of Exchange
Sales Market		Exchange Description
Sales Market State(s)	Sales Market Country(ies)	
Business Type: <input type="checkbox"/> Corporation <input type="checkbox"/> Govt. Unit or Agency <input type="checkbox"/> Indian Tribal Govt. <input type="checkbox"/> Limited Liability Co. <input type="checkbox"/> Limited Liability Partnership <input type="checkbox"/> Limited Partnership <input type="checkbox"/> Partnership <input type="checkbox"/> Sole Proprietor <input type="checkbox"/> Trust Co. <input type="checkbox"/> Unicorp Assn./Social/Rec/Civic Group/Non-Profit		
Business Subtype: <input type="checkbox"/> Business Trust <input type="checkbox"/> Multinational Corp. <input type="checkbox"/> Corporation <input type="checkbox"/> Domestic <input type="checkbox"/> Federal <input type="checkbox"/> Foreign <input type="checkbox"/> General Partnership <input type="checkbox"/> Joint Venture Partnership <input type="checkbox"/> Limited Liability Partnership <input type="checkbox"/> Local <input type="checkbox"/> Professional Corp. <input type="checkbox"/> Professional Limited Liability Partnership <input type="checkbox"/> State		
NAIC Industry (Select up to 3): <input type="checkbox"/> Agriculture, Forestry, Fishing, and Hunting <input type="checkbox"/> Mining <input type="checkbox"/> Utilities <input type="checkbox"/> Construction <input type="checkbox"/> Food/Textile Manufacturing <input type="checkbox"/> Wood/Plastic/Glass/Chemical Manufacturing <input type="checkbox"/> Metal/Machinery Manufacturing <input type="checkbox"/> Wholesale Trade <input type="checkbox"/> Durable Goods/Housewares/Clothing/Food <input type="checkbox"/> Department Stores/General Merchandise Stores <input type="checkbox"/> Transportation <input type="checkbox"/> Warehousing and Storage <input type="checkbox"/> Information <input type="checkbox"/> Finance and Insurance <input type="checkbox"/> Real Estate Rental and Leasing <input type="checkbox"/> Professional, Scientific, and Technical Services <input type="checkbox"/> Management of Companies and Enterprises <input type="checkbox"/> Administrative and Support and Waste Management and Remediation Services <input type="checkbox"/> Educational Services <input type="checkbox"/> Health Care and Social Assistance <input type="checkbox"/> Arts, Entertainment, and Recreation <input type="checkbox"/> Accommodation and Food Services <input type="checkbox"/> Other Services (except Public Administration) <input type="checkbox"/> Public Administration		
NAIC Sub-Industry (1)*		
NAIC Sub-Industry (2)*		
NAIC Sub-Industry (3)*		

*For information regarding NAICS Industry Codes, please visit the following website <https://www.census.gov/naics> and use the 2022 NAICS Search feature to locate potential industry code descriptions.

NAIC (North American Industry Classification System) - Required for non-individual clients. NAICS codes are a standard used by federal statistical agencies in classifying business establishments for the purpose of collecting, analyzing, and publishing statistical data related to the U.S. business economy.

Person of Interest / High Risk Indicators

U.S. Non-Individual (Select up to five (5) indicators that apply to this account owner.)	<input type="checkbox"/> CASINO (5B)	<input type="checkbox"/> GUN DLR/FIREARMS (5E)	<input type="checkbox"/> NON-GOVT ORG (5F)	<input type="checkbox"/> TRAVEL AGENT (5A)
	<input type="checkbox"/> GEM/PREC MTL DLRS (5C)	<input type="checkbox"/> MONEY SERVICE BUS (5D)	<input type="checkbox"/> PEP-FOREIGN (5G)	<input type="checkbox"/> NOT APPLICABLE (00)
U.S. Individual (Select all that apply.)	<input type="checkbox"/> PEP (3A)	<input type="checkbox"/> NOT APPLICABLE (00)		
Foreign Non-Individual (Select up to five (5) indicators that apply to this account owner.)	<input type="checkbox"/> CASINO (6B)	<input type="checkbox"/> FOR PERS INV/HOLDING CO (6H)	<input type="checkbox"/> TRAVEL AGENT (6A)	
	<input type="checkbox"/> FFI (6L)	<input type="checkbox"/> FOREIGN TRUST (6I)	<input type="checkbox"/> MONEY SERVICE BUS (6D)	<input type="checkbox"/> NOT APPLICABLE (00)
	<input type="checkbox"/> FOR FIN INTERMEDIARY (6M)	<input type="checkbox"/> GEM/PREC MTL DLRS (6C)	<input type="checkbox"/> NON-GOVT ORG (6K)	
	<input type="checkbox"/> FOR OPERATING CO (6G)	<input type="checkbox"/> GUN DLR/FIREARMS (6F)	<input type="checkbox"/> PEP-FOREIGN (6N)	
Foreign Individual (Select all that apply.)	<input type="checkbox"/> FOR FIN INTERMEDIARY (3B)	<input type="checkbox"/> PEP (3A)	<input type="checkbox"/> NON-RESIDENT ALIEN (3C)	<input type="checkbox"/> NOT APPLICABLE (00)

Class Codes Descriptions (Do not enter "N" for "No" in the Class Code field - please leave blank.)

- U** Employees of Introducing Firm, their spouse, dependent children, or any other person who is supported directly or indirectly to a material extent by the employee. Also included are accounts in which any of these individuals has a financial or beneficial control or interest such as guardian, custodian, trustee, executor, corporate or legal officer or agent, investment clubs, joint accounts, or partnerships.
- V** Non-dependent immediate family members of an employee of Introducing Firm which includes: non-dependent children, parents, parents-in-law, brothers or sisters, brothers-in-law or sisters-in-law, sons-in-law or daughters-in-law, children or other persons supported directly or indirectly to a material extent by any of these individuals, and any accounts in which they have a financial or beneficial control or interest such as guardian, custodian, trustee, executor, corporate or legal officer or agent, investment clubs, joint accounts, or partnerships.
- W** Employees or brokers of other security firms, their dependent accounts and accounts in which they have a financial or beneficial control or interest, such as guardian, custodian, trustee, executor, corporate or legal officer or agent, investment clubs, joint accounts, or partnerships.
- X** Immediate family members of employees of other security firms. Immediate family members include: parents, parents-in-law, spouse, brothers or sisters, brothers-in-law or sisters-in-law, sons-in-law or daughters-in-law, children or other persons supported directly or indirectly to a material extent by any of these individuals, and any accounts in which they have a financial or beneficial control or interest such as guardian, custodian, trustee, executor, corporate or legal officer or agent, investment clubs, joint accounts, or partnerships.

Government ID Descriptions - Provide two forms of government ID in all cases except when choosing Passport (PP) or non-documentary (ND)

AI Articles of Incorporation	EC Employer ID Card	PC Permanent Resident Card
AO Articles of Organization (LLC)	ED Estate/Court Documents	PP Passport
AR Adoption Record	FD Foreign Issued ID - Non-Driver	RA Resident Alien ID Card (Green Card)
BC Birth Certificate	FL Foreign Driver's License*	SC School ID Card
BD Border Crossing Card*	HC Health Insurance Card (No Medicare Card)	ST State ID Card
BL Business License	LP Life Insurance Policy	TI Tribal ID
BV B1B2 Visa	MD Marriage or Divorce Record	TP Trustee Certification of Investment Powers
CD Court Document	MR Armed Forces	TR Trust Document
CE Cedula	ND Non-Documentary	<i>* If Border Crossing Card or Foreign Driver's License is selected, both Border Crossing Card and Foreign Driver's License forms of ID are required.</i>
CI Consular ID Card	NI National ID Card	
DL Driver's License	OA Operating Agreement	
EA Employment Authorization Card	PA Partnership Agreement	

Education Level

A High School Graduate	C Two-Year Degree	E Postgraduate Study	G Other
B Post-Secondary Study	D College Graduate	F Advanced Degree	

Occupation Description

A Proprietor, Professional, Managerial	M Retired
B Information Technology Systems	N Student
C Craftsmen, Skilled Worker	P Homemaker
D Sales	
E Administrative, Clerical	
F Public Service	
G Personal Service Provider	
H Farming, Fishing, Forestry	
I Education	
J Clergy	
K Other*	
L Unemployed	

** Other Description is required.*

Business Nature Codes

A Agriculture	J Non-Profit
B Consumer & Business Services	K Personal Investment Co.
C Construction	L Real Estate
D Energy	M Retail
E Financial Services	N Technology
F Government	O Telecommunications
G Healthcare	P Transportation
H Industrial	Q Wholesale
I Media	R Other
	S Estate
	T Trust

Source of Funds Codes

A Savings (from Earnings)
B Inheritance
C Business Revenue
D Donations (Trusts only)
E Sale of Business
F Sale of Real Estate
G Sale of Asset
H Legal/Insurance Settlements
I Asset Appreciation
J Other
K Associated Person

DAML

Additional Ship Addresses

SHIP/MADD

Duplicate Confirmations

Duplicate Statements

Business Type/Subtype

Business and Business Subtype are required for non-individual clients to classify the entity appropriately. The business formation will determine the business and business subtype category.

Business Type Codes

C Corporation
G Govt. Unit or Agency
I Indian Tribal Govt.
L Limited Liability Co.
N Limited Partnership
O Limited Liability Partnership
P Partnership
S Sole Proprietor
T Trust Co.
U Unicorp Assn./Social/Rec/Civic Group/Non-Profit

Business Subtype Codes

BT Business Trust
CM Multinational Corp.
CO Corporation
DM Domestic
FD Federal
FN Foreign
GP General Partnership
JV Joint Venture Partnership
LL Limited Liability Partnership
LO Local
PC Professional Corp.
PL Professional Limited Liability Partnership
ST State

Exchange

For entities that are publicly traded, the exchange where the entity trades must be indicated.

Sales Markets State/Country

All non-individual clients, both foreign and domestic, are required to record the specific market(s) in which they conduct business. For entities conducting business across the U.S., users are required to provide one U.S. state and may provide up to three U.S. states. For entities conducting international business, users are required to provide one country and may provide up to three countries. Certain entities may conduct business in both U.S. and international markets. In this instance, entities will be able to provide up to three U.S. states and three international countries.

- Local
- Regional
- U.S.
- International
- U.S./International

NAIC (North American Industry Classification System)

This is required for non-individual clients. NAICS codes are a standard used by Federal statistical agencies in classifying business establishments for the purpose of collecting, analyzing and publishing statistical data related to the U.S. business economy.