

# Joint Owner/Associated Person Information

New       Sub Firm #       Branch Code       FA Code       Account Number   
 Update

## Joint Owner or Associated Person Information DAML (Screen 2+)

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

Name

Additional Line or Entity Title

Address Line 1

Address Line 2

City  State  Zip

Country of Citizenship  Country of Residency  Government ID Code  #

State of Issue  Issue Date  Expiration Date

Marital Status     Single     Married     Divorced     Widowed    Number of Dependents not included in Primary Account Holder information.     Salutation     Mr.     Mrs.     Ms.

SSN or Tax ID  Birth Date  /  /  Education Level

NASD Information    Is Client, Client's Spouse or immediate relative employed by Introducing Firm or another NASD Member or any other financial services company?     Yes     No    If "Yes" enter Class Code. Definitions on reverse.     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.

Home Phone  Business Phone  Fax Number  Other Number

Employer Name  Position

Employer Address

City  State  Zip

Occupation Code  Business Nature  Years at Current Employer  Source of Funds  Other:

Financials	Code	Amount Range	Code	Amount Range	Annual* Income	Net** Worth	Liquid Assets	Tax Bracket
(Enter codes in appropriate boxes.)	A	\$0 - \$49,999	E	\$500,000 - \$999,999	Enter the appropriate code from left and use Joint Owner or Associated Person figures only. →	<input style="width: 40px;" type="text"/>	<input style="width: 40px;" type="text"/>	<input style="width: 40px;" type="text"/>
	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				

\* All Sources      \*\*Excluding Residence

Investment Experience    Indicate Years of Experience for each category    Bonds  Years    Stocks  Years    Options  Years    Mutual Funds  Years    Annuities/Life Insurance  Years    Unit Trust  Years

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

Accounts carried by First Clearing, LLC, member NYSE/SIPC.

Copy 1—New Accounts  
Copy 2—Introducing Firm  
Copy 3—Client

**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 Codes**

**DAML**

- |   |   |
|---|---|
| <b>AI</b> Articles of Incorporation                                   | <b>LP</b> Life Insurance Policy               |
| <b>AO</b> Articles of Organization (LLC)                              | <b>MD</b> Marriage or Divorce Record          |
| <b>AR</b> Adoption Record   | <b>MR</b> Military Records                    |
| <b>BC</b> Birth Certificate   | <b>PA</b> Partnership Agreement               |
| <b>CD</b> Court Document  | <b>PP</b> Passport                            |
| <b>DL</b> Drivers License   | <b>RA</b> Resident Alien ID Card (Green Card) |
| <b>EC</b> Employer ID Card  | <b>SC</b> School ID Card                      |
| <b>FD</b> Foreign ID Card (e.g. Drivers License, Visa, or Green Card) | <b>SH</b> Sheriff's ID                        |
| <b>HC</b> Health Insurance Card (not a Medicare Card)                 | <b>ST</b> State ID                            |
|   | <b>TR</b> Trust Agreement or Trust Deed       |

**Education Level**

**DAML**

- |                               |                              |
|-------------------------------|------------------------------|
| <b>A</b> High School Graduate | <b>E</b> Post Graduate Study |
| <b>B</b> Post Secondary Study | <b>F</b> Advanced Degree     |
| <b>C</b> Two-Year Degree      | <b>G</b> Other               |
| <b>D</b> College Graduate     |                              |

**Occupation Code**

**Business Nature Code**

- |   |                                    |
|---|------------------------------------|
| <b>A</b> Proprietor, Professional, Managerial | <b>J</b> Clergy                    |
| <b>B</b> Information Technology Systems       | <b>K</b> Other                     |
| <b>C</b> Craftsmen, Skilled Worker            | <b>L</b> Unemployed                |
| <b>D</b> Sales                                | <b>M</b> Retired                   |
| <b>E</b> Administrative, Clerical             | <b>N</b> Student                   |
| <b>F</b> Public Service                       | <b>P</b> Homemaker                 |
| <b>G</b> Personal Service Provider            | <b>Y</b> Broker Follow Up Required |
| <b>H</b> Unskilled Labor                      | <b>Z</b> Not Available             |
| <b>I</b> Education                            |                                    |

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

**Source of Funds Codes**

**DAML**

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

**Additional Ship Addresses**

**SHIP/MADD**

Duplicate Confirmations

Duplicate Statements