



Account Number _____

FA/Rep ID _____ Alternate Branch _____

CLIENT ACCOUNT INFORMATION**ADDITIONAL OWNERS (IF APPLICABLE)**

Name of Additional Owners/Trustees

ADDITIONAL PRIMARY CLIENT INFORMATION

Is either party or an immediate family member affiliated with or employed by another Broker/Dealer member firm? If **yes**, indicate the firm and position. (Proper authorization must be obtained from the member firm.) Yes No

Is either party or an immediate family member any of the following: director, shareholder with 10% or more of the stock, or a policy-making executive officer of a publicly traded company? If **yes**, indicate company and position. Yes No

ADDITIONAL JOINT OWNER/CO-TRUSTEE CLIENT INFORMATION (INCLUDE ADDITIONAL PAGES IF NECESSARY)

Is either party or an immediate family member affiliated with or employed by another Broker/Dealer member firm? If **yes**, indicate the firm and position. (Proper authorization must be obtained from the member firm.) Yes No

Is either party or an immediate family member any of the following: director, shareholder with 10% or more of the stock, or a policy-making executive officer of a publicly traded company? If **yes**, indicate company and position. Yes No

INVESTOR PROFILE

If any information is inaccurate, please correct and initial your changes before returning.

Annual Income (all sources)

- Less than \$50,000 \$300,000 - 399,999 \$1,000,000+
- \$50,000 - 99,999 \$400,000 - 499,999
- \$100,000 - 199,999 \$500,000 - 749,999
- \$200,000 - 299,999 \$750,000 - 999,999

Joint Owner's Annual Income (all sources)

- Less than \$50,000 \$300,000 - 399,999 \$1,000,000+
- \$50,000 - 99,999 \$400,000 - 499,999
- \$100,000 - 199,999 \$500,000 - 749,999
- \$200,000 - 299,999 \$750,000 - 999,999

Net Worth – excluding home (combined if joint account)

- Less than \$100,000 \$500,000 - 999,999
- \$100,000 - 249,999 \$1,000,000 - 2,999,999
- \$250,000 - 499,999 \$3,000,000 +

Liabilities (all sources)

- Less than \$50,000 \$300,000 - 399,999 \$1,000,000+
- \$50,000 - 99,999 \$400,000 - 499,999
- \$100,000 - 199,999 \$500,000 - 749,999
- \$200,000 - 299,999 \$750,000 - 999,999

Liquid Net Worth (combined if joint account)

- Less than \$100,000 \$500,000 - 999,999
- \$100,000 - 249,999 \$1,000,000 - 2,999,999
- \$250,000 - 499,999 \$3,000,000 +

Estimated Tax Bracket

Investment Objective (choose one)

- Preservation of Principal/Income** – The investment goal is capital preservation and generation of current income.
- Balanced Growth** – The investment goal is a balance between capital appreciation and wealth preservation.
- Growth** – The investment goal is capital appreciation.
- Aggressive Growth/Aggressive Income** – The investment goal is significant capital appreciation and/or income generation.
- Speculation** – The investment goal is to maximize capital appreciation.



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CLIENT ACCOUNT INFORMATION**INVESTOR PROFILE CONTINUED****Risk Tolerance.** Please indicate your risk tolerance specific to the investments in this account.

- Minimal:** I have a minimal tolerance for risk and am willing to accept the lowest possible returns which may not keep pace with inflation.
- Low:** I have a low tolerance for risk and am willing to accept some level of volatility to seek returns with less fluctuation in value.
- Moderate:** I have a moderate tolerance for risk and am willing to accept modest returns with potential for some fluctuation in value.
- High:** I have a moderate to high tolerance for risk and am willing to accept the potential for greater fluctuation in value to seek higher returns.
- Maximum:** I have a high tolerance for risk and am willing to accept the potential for significant fluctuation or loss in value while seeking to maximize potential returns.

INVESTOR PROFILE CONTINUED**Investment Decision Making.** How involved are you in making your investment decisions?

- I make my own investment decisions and/or consult with someone other than my Financial Advisor.
- I discuss investment decisions with my Financial Advisor, but I also consult other sources of financial information and/or discuss with other parties.
- I rely on the guidance of my Financial Advisor most of the time.
- I follow the recommendations of my Financial Advisor all of the time.
- This is my first investment account other than my employer sponsored retirement program.

Liquidity Needs. On an annual basis, what are your expected withdrawal needs from this account?

- Less than \$1,000 \$10,000 to \$49,999 \$100,000 to \$249,999
- \$1,000 to \$9,999 \$50,000 to \$99,999 \$250,000 +

Investment Time Horizon. When do you expect to cease accumulating assets in this account, and begin withdrawing significantly from the principal?

- Less than 1 year 4 to 6 years 9 to 11 years
- 1 to 3 years 7 to 8 years 12 years or more

Investment Experience. Please check the products/strategies that best reflect your investment experience to date.

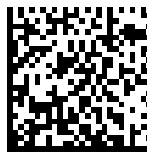
- None Bonds Options Margin Active Short-Term Trading Inverse/Leveraged Products
- Stocks Mutual Funds Annuities Futures Exchange Traded Funds Alternative Investments

TRUSTED CONTACT

The trusted contact person is intended to be a resource in protecting your assets and responding to possible financial exploitation. The trusted contact person may be contacted, and pertinent account information may be disclosed to the trusted contact person, as necessary, to address possible financial exploitation, to confirm your current contact information, health status or the identity of any of your authorized representatives (e.g. POA, trustee, etc.) or beneficiaries. A trusted contact is not an authorized party on the account and no instructions from him/her will be accepted to effect transactions and/or change information related to the account.

First Name	M.I.	Last Name
Phone Number	Email address	
Country		
Address		Apt/Suite
City	State	Zip Code
Relationship <input type="checkbox"/> Child <input type="checkbox"/> Domestic Partner <input type="checkbox"/> Parent <input type="checkbox"/> Sibling <input type="checkbox"/> Spouse <input type="checkbox"/> Other Relative <input type="checkbox"/> No Relation		

 Client declined to provide



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CLIENT ACCOUNT INFORMATION

RESPONSIBILITIES OF YOUR BROKERAGE FIRM AND CLEARING FIRM CONTINUED

9. Complying with all applicable laws, rules, regulations and restrictions regarding receipt of securities or funds.

Responsibilities of the Clearing Firm

The Clearing Firm is responsible for:

1. Establishing and carrying an account for you based on information provided by your brokerage firm. Please note you may be responsible for certain fees and/or service charges related to the account carried by the Clearing Firm. Your Brokerage Firm can answer questions concerning these fees.
2. Settling and clearing securities transactions in your account in accordance with your brokerage firm's instructions. Unless the Clearing Firm receives from you prior written notice to the contrary, the Clearing Firm relies on instructions and orders received from your brokerage firm, as your agent, as being authorized by and suitable for you, and make no independent inquiry as to your authorization or the suitability of any transaction in your account.
3. Executing securities transactions for your account if requested by and in accordance with instructions received from your brokerage firm. The Clearing Firm will not execute any order received directly from you. If your brokerage firm gives specific instructions with respect to the routing of your orders, the Clearing Firm will follow those instructions. If your brokerage firm does not give specific instructions with respect to the routing of your orders, the Clearing Firm may execute the order itself, execute the order with another brokerage firm that is a market maker, or execute the order through a primary or regional securities exchange.
4. Preparing and transmitting, or supplying your brokerage firm with the information necessary to prepare and transmit, confirmations of securities transactions for your account. Please note that an annual fee will be assessed with respect to any inactive account. (Your brokerage firm can provide you with a definition of an inactive account).
5. Preparing monthly or periodic statements of your account and transmitting such statements to you at the address provided by your brokerage firm.
6. Preparing and maintaining such books and records as are required for a broker-dealer performing the functions of a clearing broker pursuant to the agreement between your brokerage firm and the Clearing Firm and pursuant to all applicable laws, rules and regulations.
7. Receiving, delivering, holding and disbursing funds and securities for your account, including paying or collecting any interest or dividends and processing any exchange or tender offers, redemptions, conversions and the exercise of any options or rights with respect to securities, in each case in accordance with instructions received from your brokerage firm.
8. Extending credit to you for the purchase or sale of securities in your account in accordance with the RBC Express Credit agreement between you and the Clearing Firm and in accordance with all applicable laws, rules and regulations.
9. Safeguarding funds and securities in your account while such funds and securities are in the possession of the Clearing Firm.
10. Processing any instructions received regarding transfer of your account to another brokerage firm. Please note that service fees may apply for such account transfer services.

Please note that you are directly responsible to the Clearing Firm, as carrying broker of your account, for the payment of all securities purchased in and the delivery of all securities sold for your account by or upon order of your brokerage firm.

We are pleased to provide these services to your brokerage firm with respect to your account. Please direct any questions you may have to your financial advisor about the functions allocated between your brokerage firm and the Clearing Firm. If, however, you have questions concerning those areas for which the Clearing Firm is responsible which your financial advisor cannot answer, please feel free to contact us as follows:

Correspondent Relations @ 612-371-7830

Sincerely,

RBC Correspondent Services

A Division of RBC Capital Markets, LLC

PROTECTING YOUR ASSETS

Securities in your account are protected up to \$500,000 (cash up to \$250,000) by the Securities Investor Protection Corporation (SIPC). RBC Capital Markets, LLC has purchased an additional policy covering up to \$99.5 million per SIPC qualified account, subject to a maximum aggregate for RBC Capital Markets, LLC of \$400 million. This protection applies to the physical loss or destruction of your securities; it does not apply to any decline in the market value of your securities. Other investments shown on your statement but not held at RBC Capital Markets, LLC may not be protected by SIPC or private insurance policies purchased by RBC Capital Markets, LLC. For more details, please talk to your Financial Advisor or call SIPC at (202) 371-8300 for a brochure or visit www.sipc.org.

INVESTMENT OBJECTIVES DEFINED

- **Preservation of Principal/Income** – The investment goal is capital preservation and generation of current income.
- **Balanced Growth** – The investment goal is a balance between capital appreciation and wealth preservation.
- **Growth** – The investment goal is capital appreciation.
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