

Account Agreement and Form W-9 Request for Taxpayer Identification Number and Certification

Please ensure both sections below are completed and signed

ACCOUNT TITLE(S):	NAF NUMBER(S):
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I. PREDISPUTE ARBITRATION CLAUSE AND OTHER DISCLOSURES:

ARBITRATION DISCLOSURES: THIS AGREEMENT CONTAINS A PRE-DISPUTE ARBITRATION CLAUSE. BY SIGNING THIS AGREEMENT THE PARTIES AGREE AS FOLLOWS: a) All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.
b) Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.
c) The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.
d) The arbitrators do not have to explain the reason(s) for their award.
e) The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
f) The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.
g) The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement
h) No person shall bring a putative or certified class action to arbitration, nor seek to enforce any pre-dispute arbitration agreement against any person who has initiated in court a putative class action or who is a member of putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until: (i) the class certification is denied; (ii) the class is decertified; (iii) the customer is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to the extent stated herein.

ARBITRATION AGREEMENT: The undersigned agrees that controversies arising between the undersigned and First Allied Securities, Inc. shall be determined by arbitration in accordance with the rules then in effect, of the Financial Industry Regulatory Authority, Inc. and the undersigned hereby consents to such jurisdiction. All awards rendered by the arbitrators shall be binding and final, and judgment upon the award may be entered in any court of competent jurisdiction.

TAPED CONVERSATIONS:

CLIENT HEREBY AGREES THAT CONVERSATIONS MAY BE TAPE RECORDED AND CLIENT WAIVES OBJECTION TO THE ADMISSIBILITY OF SUCH RECORDINGS IN A DISPUTE CONCERNING CLIENTS ACCOUNT(S).

NOTICE PROCEDURES:

ANY NOTICE FIRST ALLIED SENDS TO ONE ACCOUNT HOLDER WILL BE DEEMED TO BE NOTICE TO ALL ACCOUNT HOLDERS.

I acknowledge this form contains a predispute arbitration clause located in the section above entitled Predispute Arbitration Clause and Other Disclosures. My signature below evidences my informed agreement and consent to all of the contents of this Agreement.

	PRINT PRIMARY CLIENT NAME:	CLIENT SIGNATURE: X _____	DATE:
	PRINT ADDITIONAL CLIENT NAME:	CLIENT SIGNATURE: X _____	DATE:

W-9

Part I Taxpayer Identification Number (TIN)

Check Appropriate Box: Individual/Sole proprietor Corporation Partnership
 Limited Liability Company. Enter the tax classification (D=disregarded entity, C= corporation, P=partnership) ▶ _____
 Other (see instructions)

TAXPAYER IDENTIFICATION NUMBER (TIN)

Enter your TIN in the appropriate box. For individuals, this is your social security number (SSN). For other entities, this is your taxpayer identification number. If you are a foreign person, please do not complete this form; instead, please submit a Form W-8 (BEN, ECI or EXP) with this Agreement.

_____ Social Security Number (SSN) Tax ID Number (TIN)

Part II Certification

Under penalties of perjury, I certify that: 1. The number shown on this form is my correct taxpayer identification number, and 2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and 3). I am a U.S. citizen or other U.S. person (including a U.S. resident alien). Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For those exempt from backup withholding (if you are unsure, please review IRS instructions), write the word "exempt" here: _____.

	PRINT PRIMARY CLIENT NAME:	CLIENT SIGNATURE: X _____	DATE:
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