



NASD AFFILIATIONS: (Check All That Apply)

- FASI affiliated person       Related Family Member to a FASI affiliated person       Foreign Political Figure, Related to, or Close Associate of One
- Employee of Financial Institution (407 Letter Required prior to opening account)      If yes, what is the relationship? \_\_\_\_\_

10% or Greater Shareholder of a Public Company      CUSIP Number or Symbol: \_\_\_\_\_ Company Name: \_\_\_\_\_

Control Person of a Publicly Held Company      CUSIP Number of Symbol: \_\_\_\_\_ Company Name: \_\_\_\_\_

**IV. JOINT/ADDITIONAL CLIENT INFORMATION (If more than one, check here & attach additional form)**

FIRST NAME:	MI:	LAST NAME:	LEGAL ADDRESS:
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SOCIAL SECURITY / TAX ID:	OR APPLIED FOR DATE:	DATE OF BIRTH:	ALTERNATE NAME:
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PRIMARY PHONE NUMBER: EXT:	<input type="checkbox"/> HOME <input type="checkbox"/> BUSINESS <input type="checkbox"/> OTHER	SECONDARY PHONE NUMBER: EXT:	<input type="checkbox"/> HOME <input type="checkbox"/> BUSINESS <input type="checkbox"/> OTHER
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DRIVERS LICENSE OR PASSPORT NUMBER:	STATE ISSUED:	DATE ISSUED:	EXPIRATION DATE:
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MARITAL STATUS: <input type="checkbox"/> MARRIED <input type="checkbox"/> SINGLE <input type="checkbox"/> WIDOWED <input type="checkbox"/> DIVORCED	NUMBER OF DEPENDENTS:
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TAX STATUS: <input type="checkbox"/> US CITIZEN <input type="checkbox"/> NON-RESIDENT ALIEN <input type="checkbox"/> RESIDENT ALIEN	COUNTRY OF RESIDENCE:	COUNTRY OF CITIZENSHIP:
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INVESTMENT EXPERIENCE (List years for each type):  
 Bonds \_\_\_\_\_ Equities \_\_\_\_\_ Mutual Funds \_\_\_\_\_ Insurance/Annuities \_\_\_\_\_ Options \_\_\_\_\_ Margin Trading \_\_\_\_\_ Alternative Investments \_\_\_\_\_ Futures/Commodities \_\_\_\_\_

PRIMARY SOURCE OF WEALTH: CHOOSE ONE <input type="checkbox"/> SALARY/WAGES <input type="checkbox"/> INHERITANCE/GIFT <input type="checkbox"/> RETIREMENT FUNDS <input type="checkbox"/> INVESTMENT INCOME <input type="checkbox"/> ESTATE ASSETS <input type="checkbox"/> OTHER _____	PRIMARY SOURCE OF FUNDS USED TO FUND THIS ACCT: CHOOSE ONE <input type="checkbox"/> SALARY/WAGES <input type="checkbox"/> INHERITANCE/GIFT <input type="checkbox"/> RETIREMENT FUNDS <input type="checkbox"/> INVESTMENT INCOME <input type="checkbox"/> ESTATE ASSETS <input type="checkbox"/> OTHER _____
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Control Person of a Publicly Held Company      CUSIP Number of Symbol: \_\_\_\_\_ Company Name: \_\_\_\_\_

**EMPLOYMENT INFORMATION:**

EMPLOYMENT STATUS: <input type="checkbox"/> EMPLOYED <input type="checkbox"/> RETIRED <input type="checkbox"/> NOT EMPLOYED <input type="checkbox"/> STUDENT	OCCUPATION (If retired or unemployed, list previous occupation):	EMPLOYER NAME:
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EMPLOYER ADDRESS:	CITY:	STATE / COUNTRY:	ZIP:
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**V. INTERESTED PARTY INFORMATION (Duplicate Statements & Confirms):**

NAME:	ADDRESS:	STATEMENT: <input type="checkbox"/> YES <input type="checkbox"/> NO	CONFIRM: <input type="checkbox"/> YES <input type="checkbox"/> NO
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NAME:	ADDRESS:	STATEMENT: <input type="checkbox"/> YES <input type="checkbox"/> NO	CONFIRM: <input type="checkbox"/> YES <input type="checkbox"/> NO
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**VI. PREDISPUTE ARBITRATION CLAUSE & OTHER DISCLOSURES:**

**ARBITRATION AGREEMENT: THIS AGREEMENT CONTAINS A PRE-DISPUTE ARBITRATION CLAUSE. BY SIGNING THIS AGREEMENT THE PARTIES**

**AGREE AS FOLLOWS:** The undersigned agrees that controversies arising between the undersigned and FAS, shall be determined by arbitration in accordance with the rules then in effect, of the National Association of Securities Dealers, 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.

- 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 parties 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.

**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.

**VII. CLIENT SIGNATURE(S)**

**DO NOT SIGN THIS FORM UNLESS ALL OF THE INFORMATION HAS BEEN COMPLETED.** Under penalties of perjury, I certify that the information provided on this form is true, correct and complete and I agree to contact my financial consultant should any of this information change. **I acknowledge this form contains a predispute arbitration clause located in the section directly above entitled Predispute Arbitration Clause & Other Disclosures.**

CLIENT SIGNATURE:	DATE:
ADDDITIONAL CLIENT SIGNATURE:	DATE:

**VIII. APPROVAL/ACCEPTANCE**

FINANCIAL CONSULTANT NAME:	FINANCIAL CONSULTANT SIGNATURE:	DATE:
DESIGNATED REGISTERED PRINCIPAL NAME:	DESIGNATED REGISTERED PRINCIPAL SIGNATURE:	DATE:
REGIONAL, AVP-SUPERVISION NAME: (if applicable)	REGIONAL, AVP-SUPERVISION SIGNATURE (if applicable):	DATE: