

Rep ID

Instructions: To be completed concurrently when opening an account with an external custodian for a Financial Advisor's outside advisory firm.
Fax the completed form to Advisory Compliance at (858) 202-8350 or email to repimaging.email@lpl.com.

1. Account Information

RIA Firm Name <input type="text"/>	Primary Advisor <input type="text"/>	Date Opened <input type="text"/>	This form is for: <input type="radio"/> New Account <input type="radio"/> An Existing Account* <small>* For existing accounts, use this form to report a change in the account holder's legal name, investment objective, and/or financial information.</small>
Name of External Custodian <input type="text"/>	External Custodian Account Number <input type="text"/>		

Section I: Account Information

1. Residency Information

Account Holder's current residency status: (choose only one) Country of Citizenship

U.S. Citizen Resident Alien Non-Resident Alien

2. Registration Type

<input type="radio"/> Individual	<input type="radio"/> Personal Trust	<input type="radio"/> Partnership
<input type="radio"/> Joint Tenants With Rights Of Survivorship	<input type="radio"/> IRA/SEP/SIMPLE	<input type="radio"/> Investment Club
<input type="radio"/> Tenants in Common	<input type="radio"/> Qualified Retirement Plan/403(b)(7)	<input type="radio"/> Guardianship/Conservatorship
<input type="radio"/> Tenants by Entirety	<input type="radio"/> Corporate	<input type="radio"/> Estate
<input type="radio"/> Community Property	<input type="radio"/> Limited Liability Company	<input type="radio"/> Other (Please specify below)
<input type="radio"/> Custodian for Minor	<input type="radio"/> Non-Profit Organization	<input type="text"/>

3. Account Registration

Account Registration

Section II: Investment Objective

1. Select the investment objective that most accurately reflects the goals for this account (choose only one):

- A. Income with Capital Preservation. Designed as a longer term accumulation account, this is the most conservative investment objective. Emphasis is placed on generation of current income and prevention of capital loss.
- B. Income with Moderate Growth. Emphasis is placed on generation of current income with a secondary focus on moderate capital growth.
- C. Growth with Income. Emphasis is placed on modest capital growth with some focus on generation of current income.
- D. Growth. Emphasis is placed on achieving high long-term growth and capital appreciation. There is little focus on generation of current income.
- E. Aggressive Growth. Emphasis is placed on aggressive growth and maximum capital appreciation. No focus on generation of current income. This objective has a very high level of risk and is for investors with a longer time horizon.



Section III: Financial Information and Experience

1. Investment Information

Enter the letter that corresponds to the correct range:

Annual income?	<input type="text"/>	Net worth? (exclusive of home)	<input type="text"/>	Liquid net worth?	<input type="text"/>	Approximate account value?	<input type="text"/>
A. \$1 - \$25,000	B. \$25,000 - \$49,999	C. \$50,000 - \$99,999	D. \$100,000 - \$249,999				
E. \$250,000 - \$499,999	F. \$500,000 - \$749,999	G. \$750,000 - \$999,999	H. \$1,000,000 and over				

Source of Account Holder Wealth and Income (inheritance, employment salary, sale of real estate, etc.):

Federal income tax bracket? (%)

Investment Experience (number of years):

Annuities Mutual Funds Partnerships Margin Stocks Bonds Options

None Other (please specify):

Section IV: Annual Fee

1. Annual Fee Information

Annual Fee rate % Note: If the account is billed on a tiered, incremental, or breakpoint fee schedule, enter the approximate rate expressed on an annualized basis.

Section V: Acknowledge and Execution

1. Branch Use Only

I hereby certify that:

- (1) I acknowledge that LPL's supervision of my activities with respect to this account is mandated by FINRA Notices to Members 94-44 and 96-33 and agree to submit to surveillance by LPL. Information contained in this form is relied upon by LPL to perform such supervision. I acknowledge that although LPL may have a supervisory obligation with respect to certain of Advisor's activities, Advisor has complete and sole responsibility for compliance with applicable regulations to which the Hybrid RIA is subject.
- (2) The information contained in this form is consistent with any account holder information obtained separately by Advisor.
- (3) I agree to notify LPL of any changes to the account holder's legal name, investment objective or financial information.
- (4) I may not participate in any securities transactions or strategies for this account which are not approved products or strategies available in an LPL SWM account.

_____ Financial Advisor Signature (unless same as Branch Manager)	_____ Financial Advisor Name (print)	_____ Rep ID	_____ Date (required)
_____ Joint Financial Advisor Signature (unless same as Branch Manager)	_____ Financial Advisor Name (print)	_____ Rep ID	_____ Date (required)
_____ Branch Manager or CCO Signature (required)	_____ Branch Manager or CCO Name (print)	_____ Rep ID	_____ Date (required)

