

# ACCOUNT APPLICATION

Broker Name/#:

TYPE OF REGISTRATION					
<b>PRIMARY APPLICANT INFORMATION</b>	<input type="checkbox"/> INDIVIDUAL <input type="checkbox"/> ESTATE <input type="checkbox"/> TRUST <input type="checkbox"/> JOINT WITH RIGHTS OF SURVIVORSHIP	<input type="checkbox"/> JOINT TENANTS IN COMMON <input type="checkbox"/> TENANTS BY ENTIRETY <input type="checkbox"/> COMMUNITY PROPERTY <input type="checkbox"/> CUSTODIAN (UNIFORM GIFT TO MINORS) UGMA/UTMA	<input type="checkbox"/> SOLE PROPRIETORSHIP <input type="checkbox"/> PARTNERSHIP <input type="checkbox"/> INVESTMENT CLUB <input type="checkbox"/> CORPORATION	<input type="checkbox"/> OTHER _____	
FULL NAME <input type="checkbox"/> MR. <input type="checkbox"/> MRS. <input type="checkbox"/> MISS <input type="checkbox"/> MS.					
DATE OF BIRTH	SOCIAL SECURITY OR TAX ID #	HOME PHONE	CELL PHONE	EMAIL ADDRESS	
<b>USA Patriot Act Information (Required by Federal Law)</b> All applicants must provide the information below. Non-resident aliens must also include a completed W-8.					
CITIZENSHIP:	<input type="checkbox"/> US <input type="checkbox"/> NON-RESIDENT ALIEN <input type="checkbox"/> RESIDENT ALIEN	DRIVERS LICENSE OR PASSPORT #	STATE	ISSUE DATE <small>(mm/dd/yyyy)</small>	EXP. DATE <small>(mm/dd/yyyy)</small>
RESIDENCE ADDRESS		CITY	STATE	ZIP	
MAILING ADDRESS (IF DIFFERENT THAN ABOVE)		CITY	STATE	ZIP	
EMPLOYER NAME AND ADDRESS (IF RETIRED, PROVIDE PREVIOUS EMPLOYER) <input type="checkbox"/> EMPLOYED <input type="checkbox"/> UNEMPLOYED <input type="checkbox"/> RETIRED			OCCUPATION/TYPE OF BUSINESS		BUS. PHONE
<b>JOINT APPLICANT INFORMATION</b>	FULL NAME <input type="checkbox"/> MR. <input type="checkbox"/> MRS. <input type="checkbox"/> MISS <input type="checkbox"/> MS.				
DATE OF BIRTH	SOCIAL SECURITY OR TAX ID #	HOME PHONE	CELL PHONE	EMAIL ADDRESS	
<b>USA Patriot Act Information (Required by Federal Law)</b> All applicants must provide the information below. Non-resident aliens must also include a completed W-8.					
CITIZENSHIP:	<input type="checkbox"/> US <input type="checkbox"/> NON-RESIDENT ALIEN <input type="checkbox"/> RESIDENT ALIEN	DRIVERS LICENSE OR PASSPORT #	STATE	ISSUE DATE <small>(mm/dd/yyyy)</small>	EXP. DATE <small>(mm/dd/yyyy)</small>
RESIDENCE ADDRESS		CITY	STATE	ZIP	
MAILING ADDRESS (IF DIFFERENT THAN ABOVE)		CITY	STATE	ZIP	
EMPLOYER NAME AND ADDRESS (IF RETIRED, PROVIDE PREVIOUS EMPLOYER) <input type="checkbox"/> EMPLOYED <input type="checkbox"/> UNEMPLOYED <input type="checkbox"/> RETIRED			OCCUPATION/TYPE OF BUSINESS		BUS. PHONE
CUSTOMER SUITABILITY					
ACCOUNT SOURCE: <input type="checkbox"/> SOLICITED <input type="checkbox"/> WALK-IN <input type="checkbox"/> PERSONAL ACQUAINTANCE <input type="checkbox"/> ADVERTISEMENT <input type="checkbox"/> LEAD LIST <input type="checkbox"/> REFERRAL <input type="checkbox"/> EXISTING CLIENT <input type="checkbox"/> OTHER _____					
INVESTMENT OBJECTIVES <input type="checkbox"/> INCOME <input type="checkbox"/> CAPITAL APPRECIATION <input type="checkbox"/> TAX-ADVANTAGED INCOME <input type="checkbox"/> SPECULATION <input type="checkbox"/> GROWTH AND INCOME		RISK TOLERANCE <input type="checkbox"/> CONSERVATIVE <input type="checkbox"/> MODERATE <input type="checkbox"/> HIGH-AGGRESSIVE <input type="checkbox"/> VERY HIGH/SPECULATIVE <input type="checkbox"/> COMBINATION _____		INVESTMENT EXPERIENCE <b>(INDICATE NUMBER OF YEARS)</b> _____ EQUITIES                      _____ GOVT SEC _____ OPTIONS                          _____ ANNUITIES _____ MUTUAL FUNDS                      _____ CDs _____ TAX-FREE BONDS                      _____ MARGIN _____ CORPORATE BONDS                      _____ REITS _____ COMMODITIES                          _____ LTD PSHIP	
INVESTMENT KNOWLEDGE <input type="checkbox"/> EXPERT <input type="checkbox"/> HIGH <input type="checkbox"/> MODERATE <input type="checkbox"/> LOW <input type="checkbox"/> NOVICE	TIME HORIZON <input type="checkbox"/> 0 - 2 YEARS <input type="checkbox"/> 2 - 5 YEARS <input type="checkbox"/> 5 YEARS BUT LESS THAN 10 <input type="checkbox"/> 10 YEARS OR LONGER <input type="checkbox"/> COMBINATION _____		TAX BRACKET FEDERAL _____ %	ACCOUNT FUNDING SOURCE _____ ASSET APPRECIATION _____ BUSINESS REVENUE _____ INHERITANCE _____ LEGAL/INSURANCE SETTLEMENT _____ SALE OF ASSETS (list below): _____ _____ SAVINGS FROM EARNINGS _____ RETIREMENT - ROLLOVER _____ RETIREMENT - TRANSFER _____ 1035 EXCHANGE _____ NONQUALIFIED TRANSFER _____ OTHER: _____	

CUSTOMER SUITABILITY (cont.)					
NET WORTH		ANNUAL INCOME		LIQUID ASSETS	
<input type="checkbox"/> \$0 - \$ 24,999	<input type="checkbox"/> \$100K - \$149,999	<input type="checkbox"/> \$0 - \$ 24,999	<input type="checkbox"/> \$100K - \$149,999	<input type="checkbox"/> \$0 - \$ 24,999	<input type="checkbox"/> \$100K - \$149,999
<input type="checkbox"/> \$25K - \$49,999	<input type="checkbox"/> \$150K - \$249,999	<input type="checkbox"/> \$25K - \$49,999	<input type="checkbox"/> \$150K - \$249,999	<input type="checkbox"/> \$25K - \$49,999	<input type="checkbox"/> \$150K - \$249,999
<input type="checkbox"/> \$50K - \$74,999	<input type="checkbox"/> \$250K - \$499,999	<input type="checkbox"/> \$50K - \$74,999	<input type="checkbox"/> \$250K - \$499,999	<input type="checkbox"/> \$50K - \$74,999	<input type="checkbox"/> \$250K - \$499,999
<input type="checkbox"/> \$75K - \$99,999	<input type="checkbox"/> \$500K+	<input type="checkbox"/> \$75K - \$99,999	<input type="checkbox"/> \$500K - OVER	<input type="checkbox"/> \$75K - \$99,999	<input type="checkbox"/> \$500K - OVER
If over \$500K, List amount \$ _____		If over \$500K, List amount \$ _____		If over \$500K, List amount \$ _____	

**ASSETS HELD AWAY** – Provide total value of assets held away and percentages for each type of asset. Total of all percentages must equal 100%.

**Total value of assets held away:** \$ \_\_\_\_\_

STOCKS	_____ %	OPTIONS	_____ %	ANNUITIES	_____ %	BANK ACCT	_____ %
BONDS	_____ %	LIMITED PARTNERSHIPS	_____ %	ALTERNATIVE INVESTMENTS	_____ %	OTHER	_____ %
SHORT-TERM	_____ %	VARIABLE CONTRACTS	_____ %	FOREIGN CURRENCY	_____ %	(specify below)	_____ %
MUTUAL FUNDS	_____ %	REITS	_____ %	FOREIGN SECURITY	_____ %	TOTAL	_____ %

**BACK-UP CONTACT INFORMATION:** This section should be completed with information for another contact person should we not be able to reach you due to return mail for your address or a disconnected phone number. You authorize us to contact the person listed below and to disclose information about you in order to confirm the specifics of your current contact information, health status, and the identity of any legal guardian, trustee, or holder of a power of attorney. This does not grant your back-up contact authorization over your account.  I decline to identify a Back-Up Contact at this time.

FULL NAME <input type="checkbox"/> MR. <input type="checkbox"/> MRS. <input type="checkbox"/> MISS <input type="checkbox"/> MS.			
RESIDENCE ADDRESS	CITY	STATE	ZIP
WORK PHONE	HOME PHONE	MOBILE PHONE	EMAIL ADDRESS
RELATIONSHIP TO PRIMARY ACCOUNT HOLDER/JOINT ACCOUNT HOLDER			

- YES  NO ARE YOU ASSOCIATED WITH A STOCK EXCHANGE OR FINRA MEMBER FIRM?
- YES  NO ARE YOU RELATED TO AN ASSOCIATED PERSON OF THIS BROKER-DEALER? IF YES, NAME \_\_\_\_\_ RELATIONSHIP \_\_\_\_\_
- YES  NO ARE YOU A POLICY-MAKING OFFICER, DIRECTOR, OR 10% STOCKHOLDER OF ANY PUBLICLY TRADED COMPANY? (FORM 144 IS REQUIRED FOR THE SALE OF THESE SECURITIES) IF YES, NAME OF COMPANY \_\_\_\_\_

Under penalties of perjury, I certify that:

- (1) The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), 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 of dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
- (3) I am a U.S. person (including a U.S. resident alien).

**Customer Acknowledgement Agreement**

All securities and investment products are offered to the undersigned by this registered broker-dealer, member FINRA/SIPC. Annuities are offered through various third parties.

I/we have reviewed the above information and certify that it is correct. I/we understand that you rely on it to advise me concerning investments. I/we agree to notify you if any of the information should change which could alter my/our investments or financial situation.

I/we acknowledge receipt of PAGE 3 of this application titled Arbitration Agreement which contains a pre-dispute arbitration clause requiring all disputes between ourselves and Southeast Investments to be settled by binding arbitration. By signing below, I/we acknowledge I/we have received, read, understand, and agree to such arbitration provisions and also acknowledge receiving a copy of the agreement.

I/we acknowledge receipt of the Southeast Investments Best Interest Disclosure (Form CRS) as required by SEC Regulation Best Interest.

All persons must sign if this is a joint account.

X \_\_\_\_\_  
 APPLICANT'S SIGNATURE DATE

X \_\_\_\_\_  
 APPLICANT'S SIGNATURE DATE

X \_\_\_\_\_  
 REGISTERED REPRESENTATIVE'S SIGNATURE DATE

X \_\_\_\_\_  
 PRINCIPAL APPROVAL DATE

# Arbitration Agreement

## Resolving Disputes – Arbitration

This agreement contains a pre-dispute arbitration clause. Under this clause, which becomes binding on all parties when you sign your account application, you and Southeast Investments, N.C. Inc. 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.

All controversies that may arise between you and Southeast Investments, N.C. Inc. concerning any subject matter, issue or circumstance whatsoever (including, but not limited to, controversies concerning any account, order or transactions or the continuation, performance, interpretation or breach of this or any other agreements between you and Southeast Investments, N.C. Inc., whether entered into or arising before, on or after the date this account is opened) shall be determined by arbitration in accordance with the rules then prevailing of the Financial Industry Regulatory Authority (FINRA) or any securities self-regulatory organization or securities exchange of which the person, entity or entities against whom the claim is made is a member, as you may designate. If you designate the rules of a self-regulatory organization or securities exchange and those rules fail to be applied for any reason then you shall designate the prevailing rules of any other securities self-regulatory organization or securities exchange of which the person, entity or entities against whom the claim is made is a member. If you do not notify us in writing of your designation with five (5) days after such failure or after you receive from us a written demand for arbitration, then you authorize Southeast Investments, N.C. Inc. to make such designation on your behalf. The designation of the rules of a self-regulatory organization or securities exchange is not integral to the underlying agreement to arbitrate. You understand that judgment upon any arbitration award may be entered in any court of competent jurisdiction.

No person shall bring a putative or certified class action to arbitration, nor seek to enforce any predispute arbitration agreement against any person who has initiated in court a putative class action; or who is a member of a putative class action 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; or (ii) the class is decertified; or (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.

### FINRA's BrokerCheck Hotline

FINRA's BrokerCheck Hotline provides certain information regarding the disciplinary history of FINRA members and their associated persons in response to written inquiries, electronic inquiries, or telephonic inquiries via FINRA's (1) toll-free telephone listing (1-800-289-9999), or (2) website ([www.finra.org](http://www.finra.org)). Additionally, FINRA has prepared an investor brochure that includes information describing BrokerCheck.