

# SEATTLE-NORTHWEST SECURITIES CORPORATION NEW ACCOUNT FORM

For office use only:	ACCOUNT NUMBER: <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/>	IP: <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/>
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## I. ACCOUNT REGISTRATION

- Estate\*    Person or Entity Appointed to Act on Behalf of the Account:   
  Administrator     Personal Representative  
 Special Administrator     Executor  
 Temporary Administrator     Executrix

Power of Attorney    Power of Attorney Name: \_\_\_\_\_

Transfer on Death – Individual\*    Agreement Execution Date: \_\_\_\_\_

Transfer on Death – Joint\*    Agreement Execution Date: \_\_\_\_\_

- Tenancy Clause:   
  Community Property     Community Property with Right of Survivorship     Tenants by Entirety  
 Tenants in Common     Joint Tenants with Right of Survivorship

\*Additional documentation may be required to open these account types. Contact your investment professional for more information.

## II. ACCOUNT HOLDER INFORMATION

### PRIMARY ACCOUNT HOLDER OR TRUSTEE

### SECONDARY / JOINT ACCOUNT HOLDER OR TRUSTEE

\_\_\_\_\_  
First, Middle, Last Name / Name of Entity

\_\_\_\_\_  
First, Middle, Last Name

\_\_\_\_\_  
Legal Street Address

\_\_\_\_\_  
Legal Street Address

\_\_\_\_\_  
Legal City/State/Zip/Country

\_\_\_\_\_  
Legal City/State/Zip/Country

\_\_\_\_\_  
Mailing Street Address (if different from legal address)

\_\_\_\_\_  
Mailing Street Address (if different from legal address)

\_\_\_\_\_  
Mailing City/State/Zip/Country (if different from legal address)

\_\_\_\_\_  
Mailing City/State/Zip/Country (if different from legal address)

\_\_\_\_\_  
Home Phone                      Business Phone                      Other

\_\_\_\_\_  
Home Phone                      Business Phone                      Other

\_\_\_\_\_  
E-mail Address\*

\_\_\_\_\_  
E-mail Address\*

\_\_\_\_\_  
Date of Birth                      Social Security # / TIN #

\_\_\_\_\_  
Date of Birth                      Social Security # / TIN #

\_\_\_\_\_  
Country of Citizenship                      Country of Permanent Residence

\_\_\_\_\_  
Country of Citizenship                      Country of Permanent Residence

### EMPLOYMENT INFORMATION

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- Employed     Unemployed     Self-Employed  
 Retired     Student

- Employed     Unemployed     Self-Employed  
 Retired     Student

\_\_\_\_\_  
Occupation                      Employer Name                      Yrs. Employed

\_\_\_\_\_  
Occupation                      Employer Name                      Yrs. Employed

\_\_\_\_\_  
Employer Address                      Employer Phone

\_\_\_\_\_  
Employer Address                      Employer Phone

### IDENTITY VERIFICATION\*\*

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*Please include a copy of your photo ID with this form.*

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\_\_\_\_\_  
Type of Unexpired Photo ID                      ID Number

\_\_\_\_\_  
Type of Unexpired Photo ID                      ID Number

\_\_\_\_\_  
Country/State/Province of Issue    Date of Issue    Date of Exp.

\_\_\_\_\_  
Country/State/Province of Issue    Date of Issue    Date of Exp.

\*By providing your E-mail Address, you consent to receiving relevant electronic correspondence from Seattle-Northwest Securities Corporation

**\*\*IMPORTANT:** To help the government fight the funding of terrorism and money laundering activities, federal law requires all financial organizations to obtain, verify and record information that identifies each person who opens an account. When you open an account, we will ask for your name, address, date of birth, and other information that will allow us to

identify you. We will ask you to provide a copy of a government issued photo identification or other identifying documents. The information you provide in this form may be used to verify your identity by using internal sources and/or third-party vendors. If you have not appeared at an SNW office in person, we may use third-party vendors to verify your identity. If you do not provide the requested information, or such information is incomplete, Seattle-Northwest Securities Corporation may not be able to open an account or carry out transactions for you.

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**II. ACCOUNT HOLDER INFORMATION (continued)**

**AFFILIATIONS**

Are you related to an employee of Seattle-Northwest Securities Corporation?  Yes  No

If Yes: \_\_\_\_\_  
Employee Name Relationship

Are you or a member of your immediate family associated with another broker-dealer?  Yes  No

If Yes: \_\_\_\_\_  
Broker-Dealer Name Relationship

If you are associated with another FINRA member firm, we will require a 407 letter from your employer to open this account

Are you or a member of your immediate family affiliated with or employed by a stock exchange or a member of a stock exchange or FINRA?  Yes  No

Are you or anyone with an interest in this account either (1) a senior military, governmental, or political official in a non-US country, or (2) closely associated with an immediate family member of such an official?  Yes  No

If Yes: \_\_\_\_\_  
Name of the official, office held and country

**AFFILIATIONS**

Are you related to an employee of Seattle-Northwest Securities Corporation?  Yes  No

If Yes: \_\_\_\_\_  
Employee Name Relationship

Are you or a member of your immediate family associated with another broker-dealer?  Yes  No

If Yes: \_\_\_\_\_  
Broker-Dealer Name Relationship

If you are associated with another FINRA member firm, we will require a 407 letter from your employer to open this account

Are you or a member of your immediate family affiliated with or employed by a stock exchange or a member of a stock exchange or FINRA?  Yes  No

Are you or anyone with an interest in this account either (1) a senior military, governmental, or political official in a non-US country, or (2) closely associated with an immediate family member of such an official?  Yes  No

If Yes: \_\_\_\_\_  
Name of the official, office held and country

**III. ACCOUNT DEMOGRAPHICS**

**PRIMARY ACCOUNT HOLDER OR TRUSTEE**

Gender:  Male  Female

Marital Status:  Single  Married  Divorced  Widowed

**INVESTMENT EXPERIENCE**

Municipal Bonds:  None  Limited  Good  Extensive

Corporate Bonds:  None  Limited  Good  Extensive

Treasuries/Agencies:  None  Limited  Good  Extensive

Other: \_\_\_\_\_

**SECONDARY/JOINT ACCOUNT HOLDER OR TRUSTEE**

Gender:  Male  Female

Marital Status:  Single  Married  Divorced  Widowed

**INVESTMENT EXPERIENCE**

Municipal Bonds:  None  Limited  Good  Extensive

Corporate Bonds:  None  Limited  Good  Extensive

Treasuries/Agencies:  None  Limited  Good  Extensive

Other: \_\_\_\_\_

**FINANCIAL INFORMATION**

Combined  Primary Account Holder or Trustee Only  (Select corresponding letter from the chart below)

Annual Income: \_\_\_\_\_

Net Worth (excluding residence): \_\_\_\_\_

Estimated Value of Investments: \_\_\_\_\_

A. Under \$50,000	E. \$150,001 - \$200,000
B. \$50,001 - \$75,000	F. \$200,000 +
C. \$75,001 - \$100,000	G. Decline
D. \$100,001 - \$150,000	

Tax Bracket:  10%  15%  25%  28%  33%  35%  Other

Source of Funds:  Income from Earnings  Investment Proceeds  Gift  Sale of Business  Inheritance  Other  Pension/IRA/Retirement Savings  Spouse/Parent  Lottery/Gaming  Insurance Proceeds

**OVERALL INVESTMENT OBJECTIVE OF ACCOUNT**

- Speculative** A speculator's objective is to assume a higher risk of loss in anticipation of potentially higher-than average gain by taking advantage of expected price changes.
- Growth** The objective of a Growth strategy is to increase the value of your investment over time recognizing a higher likelihood of volatility.
- Income** The primary objective of an Income strategy is to provide current income rather than long-term growth of principal.
- Safety** The objective of Safety is to protect your initial investment by choosing investments that minimize the potential of any loss of principal. The long-term risk of Safety is that returns may not be adequate to offset inflation.

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**IV. ADDITIONAL ACCOUNT INFORMATION**

Will you be giving discretion over this account to another?  Yes  No

If Yes: \_\_\_\_\_ Please include a Discretionary Trading Authority Form with this form.  
Name Relationship

**NOTE: If the account is established for a trust, corporation, estate, or other entity, please provide us with Corporate Resolution, Letter of Appointment or other document establishing authority.**

**V. INTERESTED PARTIES**

**FIRST INTERESTED PARTY**

\_\_\_\_\_  
First, Middle, Last Name / Name of Entity

\_\_\_\_\_  
Street Address

\_\_\_\_\_  
City/State/Zip/Country

\_\_\_\_\_  
Home Phone Business Phone Other

\_\_\_\_\_  
E-mail Address\*

Type of Notification:  Statement  Confirmation

**SECOND INTERESTED PARTY**

\_\_\_\_\_  
First, Middle, Last Name

\_\_\_\_\_  
Street Address

\_\_\_\_\_  
City/State/Zip/Country

\_\_\_\_\_  
Home Phone Business Phone Other

\_\_\_\_\_  
E-mail Address\*

Type of Notification:  Statement  Confirmation

**VI. TRANSACTION PROCESSING**

How would you like to handle interest payments (Income Distribution)?  Remit (Complete Section VII below)  Hold in Account (Skip Section VII)  Hold and Sweep to Money Market Fund (Skip Section VII)...Fund Name\*: \_\_\_\_\_

How would you like to handle proceeds (Principal & Sell Proceeds)?  Remit (Complete Section VII below)  Hold in Account (Skip Section VII)  Hold and Sweep to Money Market Fund (Skip Section VII)...Fund Name\*: \_\_\_\_\_

\*Talk to your registered representative for available Money Market Fund choices.

**IMPORTANT: If this section is not completed, SNW will assume that you have selected the "Remit" option. SNW will send a check to your address on record.**

**VII. CASH MANAGEMENT**

**INCOME DISTRIBUTION**

Method  First-Party Check  ACH\*  
 Third-Party Check\*\* (Provide Name and address below)  
 Journal\*\* Account for Journal \_\_\_\_\_

\_\_\_\_\_  
First, Middle, Last Name / Name of Entity

\_\_\_\_\_  
Street Address

\_\_\_\_\_  
City/State/Zip/Country

\_\_\_\_\_  
Home Phone Business Phone Other

\_\_\_\_\_  
First Payment Date

**PRINCIPAL DISTRIBUTION**

Method  First-Party Check  ACH\*  
 Third-Party Check\*\* (Provide Name and address below)  
 Journal\*\* Account for Journal \_\_\_\_\_

\_\_\_\_\_  
First, Middle, Last Name

\_\_\_\_\_  
Street Address

\_\_\_\_\_  
City/State/Zip/Country

\_\_\_\_\_  
Home Phone Business Phone Other

\_\_\_\_\_  
First Payment Date

Frequency: \_\_\_\_\_

Frequency: \_\_\_\_\_

\*Requires a completed ACH authorization form \*\*Requires a completed letter of authorization

**SPECIAL NOTE FOR NON-U.S. ACCOUNTS:** With respect to assets custodied by Pershing on your behalf, you acknowledge that income and capital gains or distributions to you from this account may be taxable in your home jurisdiction. You acknowledge to Seattle-Northwest Securities Corporation and to Pershing that you have taken your own tax advice in this regard.

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**VIII. TAXPAYER NUMBER CERTIFICATION**

This section is not to be used by nonresident aliens and foreign entities.

**TAXPAYER CERTIFICATION:** Under penalties of perjury, I certify that:

- (1) The number shown on this form in Section III is my correct Social Security Number or Taxpayer Identification Number (or I am waiting for a number to be issued to me);
- (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 (defined below).

**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. If you are an exempt payee (if your are unsure, ask us for a complete set of IRS instructions), write the words "Exempt Payee" here:

\_\_\_\_\_

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7).

The signature provided below is that of the primary account holder.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**NEW ACCOUNT FORM**

ACCOUNT NUMBER:

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**IX. SECURITIES INVESTOR PROTECTION CORPORATION (SIPC)**

Seattle-Northwest Securities Corporation is an SIPC member firm. You may obtain information about SIPC, including the SIPC brochure by contacting the SIPC at [www.sipc.com](http://www.sipc.com) or at (202) 371-8300.

**X. SIGNATURES**

Please review your information, read the Agreement on Page 5, and sign below. Keep a copy for your records.

I (WE) ACKNOWLEDGE THAT THIS AGREEMENT CONTAINS A PRE-DISPUTE ARBITRATION CLAUSE, IN PARAGRAPHS 13 AND 14, ON PAGE 6

\_\_\_\_\_  
Primary Account Holder or Trustee Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Secondary/Joint Account Holder or Trustee Signature

\_\_\_\_\_  
Date

**XI. FOR SNW USE ONLY**

Approved

Registered Representative (Print Name)	
Signature	Date
Principal (Print Name)	
Signature	Date

**TO: FINANCIAL ORGANIZATION AND ITS ASSIGNS:**

**1. PROVISIONS IN THE EVENT OF FAILURE TO PAY OR DELIVER**

Whenever I (we) do not, on or before the settlement date, pay in full for any security purchased for my (our) account, or deliver any security sold for such account, you are authorized (subject to the provisions of any applicable statute, rule, or regulation):

(A) Until payment or delivery is made in full, to pledge, repledge, hypothecate, or rehypothecate, without notice, any or all securities which you or your clearing agent may hold for me (either individually or jointly with others), separately or in common with other securities or commodities or any other property, for the sum then due or for a greater or lesser sum and without retaining in your possession and control for delivery a like amount of similar securities.

(B) To sell any or all securities which you or your clearing agent may hold for me (either individually or jointly with others), to buy in any or all securities required to make delivery for my (our) account, or to cancel any or all outstanding orders or commitments for my (our) account.

**2. CANCELLATION PROVISIONS**

You are authorized, in your discretion, should I (we) die or should you for any reason whatever deem it necessary for your protection, without notice, to cancel any outstanding orders in order to close out my (our) accounts, in whole or in part, or to close out any of the commitments made on my (our) behalf.

**3. GENERAL PROVISIONS**

Any sale, purchase, or cancellation authorized hereby may be made according to your judgment and at your discretion on the exchange or other market where such business is then usually transacted, at public auction, or at private sale without advertising the same and without any notice, prior to tender, demand, or call. You may purchase the whole or any part of such securities free from any right of redemption, and I (we) shall remain liable for any deficiency. It is further understood that any notice, prior to tender, demand, or call, from you shall not be considered a waiver of any provision of this agreement. I (we) shall include any person executing this agreement.

**4. SUCCESSORS**

This agreement and its provisions shall be continuous, and shall inure to the benefit of your present organization, and any successor organization or assigns, and shall be binding upon me (us) and/or the estate, executors, administrators, and assigns of my (our) account.

**5. AGE**

I (we), if an individual, represent that I (we) am (are) of full age.

**6. INTEREST IN ACCOUNT**

No one except me (us) has an interest in any of my (our) accounts with you unless such interest is revealed in the title of such account, and in any case, I (we) have the interest indicated in such title.

**7. ORDERS AND STATEMENTS**

Reports of the execution of orders and statements of my (our) account shall be conclusive if not objected to in writing, the former within two days and the latter within ten days, after forwarding by you to me (us) by mail or otherwise.

**8. EXTRAORDINARY EVENTS**

You shall not be liable for loss or delay caused directly or indirectly by war, natural disasters, government restrictions, exchange, or market rulings, or other conditions beyond your control.

**9. FEES AND CHARGES**

I (we) agree to the fees and charges on the fee schedule received by me (us). You may change the fee schedule from time to time.

**10. JOINT ACCOUNTS**

If this is a joint account, unless we notify you otherwise and provide such documentation, as you require, the brokerage account(s) shall be held by us jointly with rights of survivorship (payable to either or the survivor of us). Each joint tenant irrevocably appoints the other as attorney-in-fact to take all action on his or her behalf and to represent him or her in all respects in connection with this Agreement. You shall be fully protected in acting, but shall not be required to act upon the instructions of either of us. Each of us shall be liable, jointly and individually, for any amounts due to you pursuant to this Agreement, whether incurred by either or both of us.

**11. ADDRESS**

Communications may be sent to me (us) at my (our) current address which is on file at your office, or at such other address as I (we) may hereafter give you in writing. All communications so sent, whether by mail, telegraph, messenger, or otherwise, shall be deemed given to me (us) personally, whether actually received or not.

**12. RECORDING CONVERSATIONS**

I (we) understand and agree that for our mutual protection you may electronically record any of my (our) telephone conversations.

**13. ARBITRATION DISCLOSURES**

THIS AGREEMENT CONTAINS A PREDISPUTE ARBITRATION CLAUSE. BY SIGNING AN ARBITRATION AGREEMENT THE PARTIES AGREE AS FOLLOWS:

- 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 CLAIM IS FILED.
- ARBITRATION AWARDS ARE GENERALLY FINAL AND BINDING; A PARTY'S ABILITY TO HAVE A COURT REVERSE OR MODIFY AN ARBITRATION AWARD IS VERY LIMITED.
- THE ABILITY OF THE PARTIES TO OBTAIN DOCUMENTS, WITNESS STATEMENTS, AND OTHER DISCOVERY IS GENERALLY MORE LIMITED IN ARBITRATION THAN IN COURT PROCEEDINGS.
- THE ARBITRATORS DO NOT HAVE TO EXPLAIN THE REASON(S) FOR THEIR AWARD.
- THE PANEL OF ARBITRATORS WILL TYPICALLY INCLUDE A MINORITY OF ARBITRATORS WHO WERE OR ARE AFFILIATED WITH THE SECURITIES INDUSTRY.
- 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.

- THE RULES OF THE ARBITRATION FORUM IN WHICH THE CLAIM IS FILED, AND ANY AMENDMENTS THERETO, SHALL BE INCORPORATED INTO THIS AGREEMENT.

#### **14. ARBITRATION AGREEMENT**

ANY CONTROVERSY BETWEEN YOU AND US SHALL BE SUBMITTED TO ARBITRATION BEFORE THE NEW YORK STOCK EXCHANGE, INC., ANY OTHER NATIONAL SECURITIES EXCHANGE ON WHICH A TRANSACTION GIVING RISE TO THE CLAIM TOOK PLACE (AND ONLY BEFORE SUCH EXCHANGE), OR THE FINANCIAL INDUSTRY REGULATORY AUTHORITY. 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 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; OR (III) THE CUSTOMER IS EXCLUDED FROM THE CLASS BY THE COURT. SUCH FOREBEARANCE TO ENFORCE AN AGREEMENT TO ARBITRATE SHALL NOT CONSTITUTE A WAIVER OF ANY RIGHTS UNDER THIS AGREEMENT EXCEPT TO THE EXTENT STATED HEREIN. THE LAWS OF THE STATE OF WASHINGTON GOVERN.