

For FirstSouthwest and/or Broker/Dealers for which it clears transactions

Account Title: _____

Account Number: _____

If Corporate Account, enter Country or territory in which corporation or foundation was formed or trust was registered and the name and address of two different people that are officers or have authority over the account:

List account numbers of any previous accounts opened by this entity or individual(s):

List anyone other than the beneficial owner who is authorized to effect transactions with respect to this account (Please print) (e.g. authorized signatories, trustees, POA, attach trading authorization form if necessary):

Specify the type of identification received from the client and identification number: _____

Indicate how the RR was introduced to client (walk-in, cold call, referral, etc.): _____

- If referral, name of referring party: _____
- Client's relationship to referring party: _____
- Duration of referring party's acquaintance with client: _____
- RR's relationship to referring party: _____
- Is there a commission-sharing or referral fee arrangement with the referring party? yes no
- Duration of RR's relationship to referring party: _____

Indicate how long FA has known the client: _____

Indicate the date and location of RR's last personal meeting with client: _____

Are you aware of any prior or pending criminal or regulatory proceedings or any negative reputation issues involving the client or the referring party? yes no

- If "Yes," describe: _____

Describe the type of business that will be conducted in the account (include any products that you anticipate using, i.e. equities, bonds, mutual funds, check writing capabilities, etc.):



Will the account be depositing securities? yes no

If yes, please describe the types of securities (i.e. bulletin board stocks, over the counter, etc.) that will be deposited and the percentage of the account's business this activity will consist of:

Initial Deposit (list name and location of institution and amount of initial deposit. If a third party owns the account the initial deposit is coming from, please explain the relationship between third party and the client.) _____

Will there be third party deposits into or withdrawals from the account (e.g., checks, wire transfers, etc.)?
• If "Yes", please describe anticipated activity: _____

Will there be regular movements to/from foreign countries? yes no
• If "Yes", please specify country(ies): _____

Financials (Check all that apply and explain):

Compensation - please indicate name of employer, nature of business and employment date: _____

Present Business Ownership – Please list any business ownership. This information should be included regardless of whether it is client's primary source of wealth. If source of wealth is sale of a business, please indicate approximate date and amount of sale and buyer. _____

Source of Wealth – Please list any other sources of wealth as requested being as specific as possible. _____

Current Bank/Brokerage Relationships (include account number, account value, office location, phone number, and name of contact person):

Acct # _____ Account Value \$ _____

Location of Bank (City, State, Country) _____

Ph # _____ Contact Person at Bank _____

Is the account a foreign bank organized under foreign law and located outside of the United States as defined by 31 C.F.R. 103.11? yes *Attach Certification Regarding Correspondent no
Accounts for Foreign Bank Form

Is the account maintained for a Foreign Public Official, his or her immediate family members (including former spouses), or a foreign political organization? yes no

Registered Representative signature

Principal's signature conducting due diligence for introducing firm

Print Name of Registered Representative Date

Print Name of Principal's Date