Entity Information Entity Information & Certification

Account Number

Rep ID

Instructions: Submit this form when an entity account or Omnibus relationship is opened. An entity account is an account opened for a corporation, partnership, LLC, sole proprietorship, non-profit or other non-corporation. It designates individuals who are authorized to give instructions on behalf of the entity. Please email the completed document(s) to <u>imaging.email@lpl.com</u>, or fax to (858) 202-8325.

Section I: Entity Information & Documentation

Entity Information				
Name of Entity				
	、 、			
What type of entity? (select one				
C Corporation	S Corporation	◯ Non-Profit		
○ Sole Proprietorship	O Partnership	C Limited Liability Co	prporation	
Optional: Legal Entity Identifie	r (LEI):			
More information about the LE	l can be found at <u>www.gleif.or</u>	<u>g.</u>		
Entity Documentation (Indica	te which document is attached	d for the entity)		
Business License (Certificate of Good Stand	ing O Partnership Agreer	ment	
Operating Agreement (Articles of Organization 	 Articles of Incorpo 	ration () IRS Form 990	
0	0	U	Document	Document Expiration
Document Number (Tax ID/SSN	N not acceptable) Place of	Issuance	Issuance Date	Date (if applicable)
ction II: Authorized Inc	lividual Information -	Complete subsection for	each Authorized Indi	vidual
Authorized Individual Name Residence Address (no P. O. Bo	oxes) 🗆 Same as mailing addre	Social Security Number	Date of Birth Date of Birth	ID Number
		Home Phone	ID Place of Issuance	ID Expiration Date
Is this account for the benefit o	f a Politically Exposed Person	(PEP)*? OYes No		
If yes, define PEP position:				
in-laws); 3. Close associates - People	who are widely and publicly known t	nior foreign (non-U.S.) political figure; 2. His o maintain a close relationship with the PEF tity that has been formed by, or for the ben	P, including people who are in a pos	
	ccount packet/agreement for	for LPL in administering your acco more details). Your trusted contact		
I decline to provide a true	sted contact person at this ti	me.		
Trusted Contact Name	- -	Trusted Co	ontact Email	
Trusted Contact Address				
Trusted Contact Primary Phone	e Relations	ship to Account Holder (Spouse, Re	lative, Friend, Professional Re	elationship, Other)







Section II: Authorized Individual Information - Complete subsection for each Authorized Individual (continued)

Mark here and complete the FINRA information if you, your spouse, domestic partner, or other immediate family member is a FINRA employee, person associated with a broker/dealer, or municipal securities dealer. By completing and signing this new account application, you authorize LPL to transmit duplicate statements, confirmations and other information concerning the account and its existence to FINRA, the broker/dealer, or municipal securities dealer as applicable.

Full Name of Person Associated with Firm or FINRA	Your Relations associated wit	hip to the person h the Firm		he name of the ass f FINRA, list FINRA	
Address of Person Associated with Firm or FIN	RA	Corporate Cor	mpliance Ma	iling Address of Fi	irm
Mark here if you or any member of your i	mmediate family	has been a corporate officer	director <u>N</u>	lame of Corporatio	on(s)
or owner of 10% or more of any public co					
Authorized Individual Information					
Authorized Individual Name]	Social Security Number	Date c	of Birth	ID Number
Residence Address (no P. O. Boxes) 🗌 Same as	mailing address	Country of Citizenship	ID Typ	0e	ID Issuance Date
		Home Phone	ID Plac	ce of Issuance	ID Expiration Date
Is this account for the benefit of a Politically Ex	posed Person (PE	P)*? (Yes No			
If yes, define PEP position:					
*A Politically Exposed Person (PEP) is defined as: 1. A cur in-laws); 3. Close associates - People who are widely and transactions on behalf of the PEP; 4. Any corporation, bus The trusted contact person is intended to be a exploitation (refer to account packet/agreeme conduct transactions in your account.	l publicly known to ma siness or other entity t resource for LPL i nt for more detail	aintain a close relationship with the P that has been formed by, or for the b in administering your accounts ls). Note: Your trusted contact	PEP, including p enefit of, the Pl 5, protecting	people who are in a po EP. your assets, and re	sition to conduct substantial financial esponding to possible financia
Trusted Contact Name		Trusted (Contact Ema	il	
Trusted Contact Address					
Trusted Contact Primary Phone	Relationship	o to Account Holder (Spouse, F	Relative, Frie	end, Professional R	elationship, Other)
Mark here and complete the FINRA info person associated with a broker/dealer, c transmit duplicate statements, confirmat municipal securities dealer as applicable.	or municipal securi	ities dealer. By completing an	d signing th	is new account ap	plication, you authorize LPL to
Full Name of Person Associated with Firm or FINRA	Your Relations associated wit	hip to the person h the Firm		he name of the ass f FINRA, list FINRA	
Address of Person Associated with Firm or FIN	RA	Corporate Cor	mpliance Ma	iling Address of Fi	rm
Mark here if you or any member of your i	mmediate familv	has been a corporate officer.	director. 📙	lame of Corporation	on(s)
or owner of 10% or more of any public co					



F7

Section II: Authorized Individual Information - Complete subsection for each Authorized Individual (continued)

Authorized Individual Information			
Authorized Individual Name	Social Security Number	Date of Birth	ID Number
Residence Address (no P. O. Boxes) 🗌 Same as mailing address	Country of Citizenship	ID Туре	ID Issuance Date
	Home Phone	ID Place of Issuance	ID Expiration Date
s this account for the benefit of a Politically Exposed Person (P	EP)*? () Yes () No		
f yes, define PEP position:			
A Politically Exposed Person (PEP) is defined as: 1. A current or former senion n-laws); 3. Close associates - People who are widely and publicly known to ransactions on behalf of the PEP; 4. Any corporation, business or other entity and the period of the PEP; 4. Any corporation, business or other entity and the period of the PEP; 4. Any corporation, business or other entity and the period of the per	maintain a close relationship with the PE	P, including people who are in a p	
n-laws); 3. Close associates - People who are widely and publicly known to	naintain a close relationship with the PE , that has been formed by, or for the be . in administering your accounts,	P, including people who are in a p nefit of, the PEP. protecting your assets, and	responding to possible finar
n-laws); 3. Close associates - People who are widely and publicly known to transactions on behalf of the PEP; 4. Any corporation, business or other entity The trusted contact person is intended to be a resource for LPI exploitation (refer to account packet/agreement for more deta	naintain a close relationship with the PE , that has been formed by, or for the ben . in administering your accounts, ails). Note: Your trusted contact	P, including people who are in a p nefit of, the PEP. protecting your assets, and	responding to possible finan
n-laws); 3. Close associates - People who are widely and publicly known to transactions on behalf of the PEP; 4. Any corporation, business or other entity The trusted contact person is intended to be a resource for LPI exploitation (refer to account packet/agreement for more deta conduct transactions in your account.	naintain a close relationship with the PE , that has been formed by, or for the ber . in administering your accounts, ails). Note: Your trusted contact e.	P, including people who are in a p nefit of, the PEP. protecting your assets, and	responding to possible finan
n-laws); 3. Close associates - People who are widely and publicly known to transactions on behalf of the PEP; 4. Any corporation, business or other entity The trusted contact person is intended to be a resource for LPI exploitation (refer to account packet/agreement for more deta conduct transactions in your account.	naintain a close relationship with the PE , that has been formed by, or for the ber . in administering your accounts, ails). Note: Your trusted contact e.	P, including people who are in a p nefit of, the PEP. protecting your assets, and person must be age 18 or o	responding to possible finan
n-laws); 3. Close associates - People who are widely and publicly known to transactions on behalf of the PEP; 4. Any corporation, business or other entity The trusted contact person is intended to be a resource for LPI exploitation (refer to account packet/agreement for more deta conduct transactions in your account. I decline to provide a trusted contact person at this tim rusted Contact Name Trusted Contact Address	naintain a close relationship with the PE , that has been formed by, or for the ber . in administering your accounts, ails). Note: Your trusted contact e.	P, including people who are in a p nefit of, the PEP. protecting your assets, and person must be age 18 or o ontact Email	ossition to conduct substantial finar
n-laws); 3. Close associates - People who are widely and publicly known to transactions on behalf of the PEP; 4. Any corporation, business or other entity The trusted contact person is intended to be a resource for LPI exploitation (refer to account packet/agreement for more deta conduct transactions in your account. I decline to provide a trusted contact person at this tim rusted Contact Name Trusted Contact Address	naintain a close relationship with the PE , that has been formed by, or for the ben . in administering your accounts, ails). Note: Your trusted contact e. Trusted Co	P, including people who are in a p nefit of, the PEP. protecting your assets, and person must be age 18 or o ontact Email	ossition to conduct substantial finar

Full Name of Person Associated with Firm or FINRA	Your Relationship to the person associated with the Firm	The name of the associated Firm (if FINRA, list FINRA)
Address of Person Associated with Firm or FINR	A Corporate Complian	Lead Address of Firm
		5
Mark here if you or any member of your im or owner of 10% or more of any public corp	mediate family has been a corporate officer, director oration within the past three months.	or, Name of Corporation(s)

4. Authorized Individual Information

municipal securities dealer as applicable.

Authorized Individual Name	Social Security Number	Date of Birth	ID Number
Residence Address (no P. O. Boxes) □Same as mailing address	Country of Citizenship	ID Туре	ID Issuance Date
	Home Phone	ID Place of Issuance	ID Expiration Date
Is this account for the benefit of a Politically Exposed Person (PEF	P)*? () Yes () No		
If yes, define PEP position:			

*A Politically Exposed Person (PEP) is defined as: 1. A current or former senior foreign (non-U.S.) political figure; 2. His/her immediate family members (e.g., parents, spouse, sibling, children, in-laws); 3. Close associates - People who are widely and publicly known to maintain a close relationship with the PEP, including people who are in a position to conduct substantial financial transactions on behalf of the PEP; 4. Any corporation, business or other entity that has been formed by, or for the benefit of, the PEP.

Page 3 of 5



Section II: Authorized Individual Information (continued)

The trusted contact person is intended to be a resource for LPL in administering your accounts, protecting your assets, and responding to possible financial exploitation (refer to account packet/agreement for more details). Note: Your trusted contact person must be age 18 or older, and would not be able to conduct transactions in your account.

I decline to provide a trusted contact person at this time.

Trusted Contact Name		Trusted Contact Email
Trusted Contact Address		
Trusted Contact Primary Phone	Relationship to Account Holder	(Spouse, Relative, Friend, Professional Relationship, Other)
financial interest in, controls trading i where you are employed by FINRA or	n, or has discretionary authority over th associated with a broker/dealer or muni	on associated with a broker/dealer or municipal securities dealer has a is account (e.g., accounts for minor children). This includes situations cipal securities dealer. This also includes situations where your spouse, associated with a broker/dealer or municipal securities dealer.
Full Name of Person Associated with Firm or FINRA	Your Relationship to the person associated with the Firm	The name of the associated Firm (if FINRA, list FINRA)
Address of Person Associated with Firm or f	FINRA Cor	porate Compliance Mailing Address of firm
Mark here if you or any member of yo	ur immediate family has been a corpora	te officer, director, Name of Corporation(s)

Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months.

E	D

Page 4 of 5



Section III: Certification

1. Acknowledgment

I certify that I am authorized by my entity's documents to open an account(s) in my entity's name with LPL Financial, LLC ("LPL").

Furthermore, that the entity is duly authorized and permitted by its documents, and I am authorized on the entity's behalf to:

(1) Deliver under appropriate seal (if any) any and all written endorsements and documents necessary or proper to effectuate same; and

(2) Through LPL to Buy, sell, and otherwise deal in stocks, bonds, and other securities and commodities, on margin or otherwise (including short sales) as specified in my entity documents; and

(3) Receive on behalf of the entity account monies, securities and properties of every kind, and to dispose of same; and

(4) I, individually and on behalf of the entity, certify account demands, notices, confirmations, reports, statements of account, and communications of every kind; and

(5) Make on behalf of the entity account agreements relating to any of the foregoing matters, acknowledge the correctness thereof, and to terminate or modify same or waive any of the provisions thereof; and

(6) Generally to deal with LPL on behalf of the entity account as fully and completely as if I were alone interested in the entity account, all without notice to any other or others interested in the entity account.

Additionally, this authority shall remain in force until written notice of its revocation as authorized by my entity's documents is addressed to you and delivered at your office at LPL Financial LLC.

LPL Financial, LLC, in the event of the death or resignation of any authorized individual of the entity account, is authorized to take such proceedings, require such papers, retain such portion of or restrict transactions in said account as LPL may deem advisable to protect LPL against any liability, penalty or loss under any present or future law or otherwise.

It is further agreed that in the event of the death or resignation any authorized individual of the entity account, the remaining authorized individuals will immediately cause you to be notified of such fact.

Subject to the provisions hereof, all notices or communications in respect of the entity account will be directed to the address of record.

Finally, each of the above named individuals, upon completing the LPL Supplemental Form (F1C) and signing same, shall have the same rights, privileges, duties, and obligations enumerated above, and I hereby certify that my entity documents empower me to make these appointments.

Signature of Authorized Individual	Name of Authorized Individual (print)	Date
Signature of Authorized Individual	Name of Authorized Individual (print)	Date
Signature of Authorized Individual	Name of Authorized Individual (print)	Date
Signature of Authorized Individual	Name of Authorized Individual (print)	Date



E7

Revised 0319