

# Account Application

## Advisory - Non-Retirement

**A1**

Account Number

Rep ID							

Financial advisor instructions: To be used for all LPL Advisory non-retirement accounts. For more detailed information on the appropriate paperwork requirements for all registration types, please consult the appropriate account opening checklist located in the resource center. For existing accounts, this form should only be used for adding or removing account holders or to change the registration.

Please fax the completed form to New Accounts at (858) 202-8325.

ATTENTION: Any alterations must be initialed by all account holders.

### Section I: Account Information

#### 1. Account Type (choose only one)

Account updates required by LPL Operations ☐

Each account holder must receive, read and understand the contents of the applicable Account Packet referenced below based on the account type selected. This separate packet contains the Account Agreement and any Program Brochures that detail the relationship between you, your financial advisor, LPL Financial ("LPL") and other related parties as applicable to your account.

- |   |   |
|---|---|
| <input type="radio"/> Strategic Asset Management (Account Packet - SAM Programs)    | <input type="radio"/> Optimum Market Portfolios Advisory (Account Packet - OMP) |
| <input type="radio"/> Strategic Asset Management II (Account Packet - SAM Programs) | <input type="radio"/> Model Wealth Portfolios (Account Packet - MWP)            |
| <input type="radio"/> Manager Select (Account Packet - Manager Select)              | <input type="radio"/> Personal Wealth Portfolios (Account Packet - PWP)         |

#### 2. Registration Type (choose only one)

- |  |   |  |  |
|--|---|--|--|
| <input type="radio"/> Individual                               | <input type="radio"/> Guardianship/Conservatorship* | <input type="radio"/> Personal Trust*            | <input type="radio"/> Corporate*               |
| <input type="radio"/> Tenants in Common                        | <input type="radio"/> Custodian for Minor           | <input type="radio"/> Partnership*               | <input type="radio"/> Non-Profit Organization* |
| <input type="radio"/> Community Property                       | <input type="radio"/> Coverdell ESA*                | <input type="radio"/> Limited Liability Company* | <input type="radio"/> Omnibus*                 |
| <input type="radio"/> Joint Tenants With Right of Survivorship | <input type="radio"/> Estate*                       |  |  |
| <input type="radio"/> Other (Please specify):                  | <input type="text"/>                                |  |  |

\*Additional documentation required. Financial advisor should refer to the detailed procedures for the registration type on the Resource Center.

Is this account for a Government Entity?

☐ Yes ☐ No

Is your account holder considered an "institutional account" based on one or more of the following definitions per FINRA

☐ Yes ☐ No

Rule 4512(c):

1. A bank, savings and loan association, insurance company or registered investment company;
2. An investment adviser registered either with the SEC under Section 203 of the Investment Advisers Act or with a state securities commission (or any agency or office performing like functions); or
3. Any other person (whether a natural person, corporation, partnership, trust or otherwise) with total assets of at least \$50 million

#### 3. Registration Information

Social Security Number or Tax ID

Account Registration

Bob Smith

Home Phone

Mobile Phone

Fill in your current residency status: (choose only one)

☐ U.S. Citizen ☐ Resident Alien ☐ Non-Resident Alien

Country of Citizenship

Mailing Address

Business Phone

Fax Number



Member FINRA/SIPC



## Section II: Investment Objective and Risk Tolerance

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

The investment objectives are overall objectives for the entire account and may be inconsistent with a particular holding at any time.

Please note that achievement of the stated investment objectives is a long-term goal for the account. These choices are listed in order from what is considered to be conservative to highest risk. There is no guarantee that the investment objective will be achieved.

- ☐ A. Income with Capital Preservation. Designed as a longer term accumulation account, this is considered generally the most conservative investment objective. Emphasis is placed on generation of current income with minimal risk of capital loss. Lowering the risk generally means lowering the potential income and overall return.
- ☐ 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.

ATTENTION: If you select an objective and cross it out to choose another, the change must be initialed by all account holders.

## Section III: Account Holder Information

For corporate, LLC, non-profit organization, partnership, and investment club accounts, this section is NOT required. Complete the appropriate supplementary documentation instead. For additional account holders, complete the Supplemental Account Application (F1C).

### 1. Primary Information

Primary Account Holder/Trustee/Minor/Auth. Officer			Occupation (former if retired or unemployed)		ID Type (Ex: Driver's License, Passport, etc.)
<input type="text"/>			<input type="text"/>		<input type="text"/>
Social Security Number	Date of Birth	No. of Dependents	Industry (former if retired)	ID Place of Issuance	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Residence Address (no P. O. Boxes) <input type="checkbox"/> Same as mailing address			Employer Name <input type="checkbox"/> Mark here if retired or unemployed	ID Number	
<input type="text"/>			<input type="text"/>	<input type="text"/>	
<input type="text"/>			Employment Address (no P.O. boxes)	ID Issuance Date	ID Expiration Date
<input type="text"/>			<input type="text"/>	<input type="text"/>	<input type="text"/>
Country of Citizenship			<input type="text"/>	ID verified?	<input type="radio"/> Yes <input type="radio"/> No
<input type="text"/>			<input type="text"/>		
Home Phone	Mobile Phone	Business Phone	Fax Number		
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		

Is this account for the benefit of a Politically Exposed Person (PEP)\*? ☐ 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.

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
<input type="text"/>	<input type="text"/>
Trusted Contact Address	
<input type="text"/>	
Trusted Contact Primary Phone	Relationship to Account Holder (Spouse, Relative, Friend, Professional Relationship, Other)
<input type="text"/>	<input type="text"/>

Account Number

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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