

Ameriprise Institutional Account

Ameriprise® Brokerage



Non-Qualified Account Application



- All owners on the account must be established as clients using the "Create New Client" link in eForms Manager on the *AdvisorCompass*® site prior to setting up a new account.
- Each account ownership must complete a separate application.

Taxpayer Identification Number

Part 1 Client Account Information

Account Registration

Account Registration (continued)

Part 2 Institutional Entity

A. Type of Institutional Entity

- | | |
|--|--|
| <input type="radio"/> US Municipal, County, State or Federal Government Entity | <input type="radio"/> Registered Investment Company |
| <input type="radio"/> US Banking Institution | <input type="radio"/> An investment adviser registered either with Securities and Exchange Commission under Section 203 of the Investment Advisers Act of 1940 or with a state securities commission |
| <input type="radio"/> Insurance or Reinsurance Company | <input type="radio"/> A public company traded on a national exchange |
| <input type="radio"/> Hedge Fund | <input type="radio"/> A private company |
| <input type="radio"/> Other Regulated Financial Institution | <input type="radio"/> Other |
| <input type="radio"/> Foreign Financial Institution | |

B. Ownerships

- | | |
|--|--|
| <input type="radio"/> Trust | <input type="radio"/> Corporate - Required Documents: |
| <input type="radio"/> Partnership | 1. A signed Corporate Resolution dated within 12 months of the signature date on this application, identifying authorized signers. |
| <input type="radio"/> LLC - Required Information: | 2. Government Issued Business License or Articles of Incorporation. |
| 1. LLC must have its own TIN, and | <input type="radio"/> Other ownership |
| 2. A complete Operating Agreement identifying authorized signers. | |
| Note: A Corporate resolution dated within 12 months is required if the Operating Agreement does not identify the managing members. | |

C. Large Trader Application

SEC larger trader (Rule 13h-1) identification (if applicable)

Larger Trader ID Name of the Large Trader

Part 3 Authorized Persons

Please provide the following information regarding the person(s) you wish to authorize to direct trading and other activity in this account. Each person listed must be a U.S. citizen, must be of legal age in the state where they reside, and have the power and authority to perform under this Agreement.

Person #1

Name		Position	
Home Address			
City	State	ZIP code	Country
Date of Birth (MMDDYYYY)	Social Security Number	Percentage of Ownership in the Institutional Entity	

Authorized Persons continues on the next page..

Sign on Page 8, 9

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Authorized Persons continued

Employment Information (See directions attached below)

A. Employment Status

- ☐ Employed
- ☐ Self Employed
- ☐ Not Employed (unemployed, retired, student, homemaker)

Occupation

B. Is the authorized person employed by, or an associated person of, a registered broker-dealer, securities exchange, or the Financial Industry Regulatory Authority (FINRA)?

- ☐ Yes (complete employer information below)
- ☐ No

C. Is the authorized person an officer, director, 10% shareholder or policymaker of a publicly traded company?

- ☐ Yes (complete employer information below)
- ☐ No

Employer Information required if "Yes" is answered in questions B or C above

Employer

Employer Street Address

Employer City

State

ZIP code

Employer Country

Person #2

Name

Position

Home Address

City

State

ZIP code

Country

Date of Birth (MMDDYYYY)

Social Security Number

Percentage of Ownership in the Institutional Entity

Employment Information (See directions attached below)

A. Employment Status

- ☐ Employed
- ☐ Self Employed
- ☐ Not Employed (unemployed, retired, student, homemaker)

Occupation

B. Is the authorized person employed by, or an associated person of, a registered broker-dealer, securities exchange, or the Financial Industry Regulatory Authority (FINRA)?

- ☐ Yes (complete employer information below)
- ☐ No

C. Is the authorized person an officer, director, 10% shareholder or policymaker of a publicly traded company?

- ☐ Yes (complete employer information below)
- ☐ No

Employer Information required if "Yes" is answered in questions B or C above

Employer

Employer Street Address

Authorized Persons continues on the next page.....

Authorized Persons continued

Employer City	State	ZIP code	Employer Country
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Person #3

Name	Position
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Home Address

City	State	ZIP code	Country
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Date of Birth (MMDDYYYY)	Social Security Number	Percentage of Ownership in the Institutional Entity
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Employment Information (See directions attached below)

A. Employment Status

- ☐ Employed
- ☐ Self Employed
- ☐ Not Employed (unemployed, retired, student, homemaker)

Occupation

B. Is the authorized person employed by, or an associated person of, a registered broker-dealer, securities exchange, or the Financial Industry Regulatory Authority (FINRA)?

- ☐ Yes (complete employer information below)
- ☐ No

C. Is the authorized person an officer, director, 10% shareholder or policymaker of a publicly traded company?

- ☐ Yes (complete employer information below)
- ☐ No

Employer Information required if "Yes" is answered in questions B or C above

Employer

Employer Street Address

Employer City	State	ZIP code	Employer Country
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If there are more than 3 authorized persons, please copy this page and provide the above information for each individual.

Employment Information

Is the authorized person employed by, or an associated person of, a registered broker-dealer, securities exchange, or the Financial Industry Regulatory Authority (FINRA)? - Make one selection in response to the question (Yes or No). If the response is yes, complete the Employer Information section.

Is the authorized person an officer, director, 10% shareholder or policymaker of a publicly traded company? - Make one selection in response to the question (Yes or No). If the response is yes, complete the Employer Information section.

Employment Status - Make one selection that applies (Employed, Self-Employed or Not Employed).

Occupation - Enter the occupation or job that represents the client's usual employment or source of livelihood.

Employer Information (Required if answered "Yes" to either financial affiliation question)

Employer - Name of employer, or financial institution.

Employer Street Address - Street address of the Employer's mailing address.

Employer City/State/ZIP code - City, State and ZIP code of the Employer's mailing address.

Employer Country - Country of the Employer's mailing address.

Authorized Persons continues on the next page.....

Part 4 Money Settlement

☐ Uninvested cash balances will sweep daily.

☐ Ameriprise Cash¹.

¹Ameriprise Cash is an interest-bearing free credit balance held in your brokerage account by American Enterprise Investment Services, Inc., an affiliate broker of Ameriprise Financial Services, Inc., and is subject to SIPC coverage.

If this is to be a Delivery versus Payment (DVP) Account, please provide the following instructions:

Institution ID Number	SEC Type	Agent Bank Number	DTC Number
Institution Type	Agent/Bank Cust. Number	Delivery Facility	Physical Instructions

Part 5 Initial Account Funding

How will the account be funded:

☐ Account Transfer

☐ Wire Transfer

☐ Check: Amount of check attached \$

Do not send any funding or initiate the ACAT process until you submit an Institutional Account Questionnaire and you have received notice that it has been reviewed and determined to be in good order.

Part 6 Margin Borrowing

- ☐ A margin loan is an extension of credit backed by the eligible securities you hold in your account. Margin lending has specific risks outlined in the Margin Risk Disclosure document that you should be aware of before opening a margin account.
- Margin lending allows you to borrow funds to purchase securities or withdraw cash. You will incur margin interest if you take a margin loan.
 - Institutional, trust, corporations and LLCs should review their legal documents with their own legal counsel to determine if margin lending is permitted.
 - Margin not available on accounts with Delivery Versus Payment (DVP) instructions.

☐ I agree to have a margin account.

Part 7 Account Level Suitability

☐ Basic definitions for Investment Time Frame, Risk Tolerance, Investment Objectives and Liquidity Needs are provided below.

Planned Initial Investment Amount

\$

Source of Funds: (Check all that apply)

☐ Employment

☐ Inheritance

☐ Real Estate/Land

☐ 401(k)/Pension

☐ Investment Income

☐ Business Earnings / Sale of Business

☐ Lawsuit / Settlement

☐ Other

Investment Time Frame
(Select only one)

☐ A. Less than 1 Year

☐ B. 1 - 3 Years

☐ C. 4 - 7 Years

☐ D. 8 - 10 Years

☐ E. 11+ Years

Risk Tolerance
(Select only one)

☐ A. Conservative

☐ B. Conservative/Moderate

☐ C. Moderate

☐ D. Moderate/Aggressive

☐ E. Aggressive

Investment Objectives (Select at least one per order of importance)

1st

2nd

3rd

☐

☐

☐

A. Capital Preservation

☐

☐

☐

C. Income

☐

☐

☐

D. Tax Considerations

☐

☐

☐

E. Protection

☐

☐

☐

F. Education

☐

☐

☐

G. Estate Planning

☐

☐

☐

H. Speculation

☐

☐

☐

I. Growth

☐

☐

☐

J. Growth with Income

"B. Capital Appreciation" is no longer an option.

Liquidity Needs

(Select only one)

☐ A. Less than 1 Year

☐ B. 1 - 7 Years

☐ C. 8+ Years

Account Level Suitability continues on the next page....

Account Level Suitability continued

Investment Time Frame Definition

Investment Time Frame	The expected period of time you plan to invest to achieve your current financial goal(s).
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Risk Tolerance Definitions

Risk Tolerance: Describes your ability to bear the possibility of investments losing value in exchange for the possibility of higher returns. The higher your risk tolerance, the higher the potential for large losses and gains.

*Under extreme market conditions declines may exceed this amount. *Options are:*

Conservative	You are willing to accept the lowest fluctuation in account value in exchange for the lowest return potential. <i>For example:</i> You are comfortable with an exposure of up to 35% in equities and understand this portfolio could experience a decline in value of 12%*.
Conservative / Moderate	You are willing to accept a relatively low fluctuation in account value in exchange for a below average return potential. <i>For example:</i> You are comfortable with an exposure of up to 55% in equities and understand this portfolio could experience a decline in value of 23%*.
Moderate	You are willing to accept an average fluctuation in account value in exchange for an average return potential. <i>For example:</i> You are comfortable with an exposure of up to 75% in equities and understand this portfolio could experience a decline in value of 33%*.
Moderate / Aggressive	You are willing to accept a relatively high fluctuation in account value in exchange for a relatively high return potential. <i>For example:</i> You are comfortable with an exposure of up to 90% in equities and understand this portfolio could experience a decline in value of 39%*.
Aggressive	You are willing to accept the highest fluctuation in account value in exchange for the highest return potential. <i>For example:</i> You are comfortable with an exposure of up to 100% in equities and understand this portfolio could experience a decline in value of 43%*.


Investment Objective Definitions

Capital Preservation	The primary goal is preservation of capital over growth or income.
Income	The primary goal is income provided by the investment (e.g. dividends) rather than potential growth.
Tax Considerations	The primary goal is investments that mitigate federal, state and/or local taxes.
Protection	The primary goal is leaving a monetary benefit at death to loved ones or charity.
Education	The primary goal is providing/paying for education related expenses.
Estate Planning	The primary goal is transferring assets to loved ones and/or providing a legacy at one's death.
Speculation	The primary goal requires an acceptance of a higher-than-average risk and/or loss of capital in hope of making a higher-than-average return.
Growth	The primary goal is an increase in the capital or market value of the investment rather than income that may be received from the investment.
Growth with Income	The primary goal is to provide both growth and income, often by choosing investments which have earnings growth as well as dividends.

Liquidity Needs Definition

Liquidity Needs	Period of time from the present until you anticipate you may need access to some of the investment dollars.
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Part 8 Select Mutual Fund Lot Relief Method for Accounts Holding Mutual Funds and Equities

 Make one election in each section. If no election is made in any or all of the following sections, the default is the first choice in that section.

Equities

- ☐ **First In First Out (FIFO)**
The first tax lots purchased are the first tax lots sold. The tax lots remaining each maintain their individual tax lot cost.
- ☐ **Highest In First Out (HIFO)**
The tax lots with the highest cost basis are the first tax lots sold. The tax lots remaining each maintain their individual tax lot cost.
- ☐ **Last In First Out (LIFO)**
The last tax lots purchased are the first tax lots sold. The tax lots remaining each maintain their individual tax lot cost.

Mutual Funds

- ☐ **Average Cost Basis**
The mutual funds cost basis is the total amount invested averaged over the shares purchased, giving each share the same basis. As new tax lots are purchased, or other adjustments are made, the average cost of the shares is recalculated. For holding period purposes, the first tax lots purchased are the first tax lots sold. Average cost is calculated separately for covered and noncovered shares.
- ☐ **Non Average Cost**
The lot relief method for the mutual fund account will be the same lot relief method elected for equities on this account, even if there are no equities in the account.

Dividend Reinvestment Plans

- ☐ **Non Average Cost**
The lot relief method for the account will be the same lot relief method elected for equities on this account, even if there are no equities in the account.
- ☐ **Average Cost Basis**
The cost basis for the affected assets is the total amount invested averaged over the shares purchased, giving each share the same basis. As new tax lots are purchased, or other adjustments are made, the average cost of the shares is recalculated. For holding period purposes, the first tax lots purchased are the first tax lots sold. Average cost is calculated for covered shares only.

Part 9 Select Bond Elections



- The default for market discount computation method is straight line.
- The defaults for the remaining bond elections are listed below. To make an election other than the default shown, use Form 402459.

Market Discount Computation Method

- ☐ Straight Line
- ☐ Constant Yield

Recognition of Market Discount Income

At sale/maturity

Amortize Bond Premium on Taxable Debt

Amortize

Treat all Interest, Discount, and Premium as OID

No

Part 10 Acknowledgements and Signatures

As used below, the words "You", "Your" and "Yours" refer to you the applicant. "We", "Our" and "Us" refer to Ameriprise Financial Services, Inc. ("AFSI") and/or American Enterprise Investment Services, Inc. ("AEIS") which are subsidiaries of Ameriprise Financial, Inc. ("AFI"). "Agreement" refers to the *Ameriprise Brokerage Client Agreement*.

Please read this section and all related documents carefully, then sign and date below. By signing this Application, you acknowledge that: a) all of the information contained in this Application is correct and accurate, and that you intend for us to rely on the information contained herein with regard to this account; b) you authorize all activity indicated within this application, c) you agree that we may deliver documents on a CD to you by mail or in person, and you will notify your financial advisor if you prefer to receive paper copies of these documents, and d) you agree to all terms and conditions stated in this Application and in the related documents provided to you on CD or in paper. You affirm that all persons whose signatures appear on this Institutional Account Agreement (i) have the required power and authority to enter into this agreement and perform in accordance with its terms and to effect transactions in securities; are (ii) duly authorized to bind the entity for which this account is to be opened; and that (iii) this agreement constitutes a valid, binding and enforceable agreement against the owner of this account.

Ameriprise Brokerage Acknowledgements:

- **Identity Information:** You understand that AFSI is required by law to obtain certain personal information from you which will be used by us to verify your identity and include in any reports to tax or regulatory authorities as required. If you do not provide us with this information, we may not be able to open your account. If we are unable to verify your identity, we reserve the right to close your account and to take such other steps as we deem reasonable.
- **Information Sharing:** You understand that the clearing agent, AEIS, will release your name, address and security position to requesting companies in which AEIS holds securities for your account, unless you specify otherwise to AFSI.
- **Termination of Account:** You understand that your account may be terminated by you or by us. Termination will result in the cancellation of your account and all of the underlying investments in your account. You understand you are responsible for charges relating to any termination of this account.
- **Margin Account:** BY REQUESTING MARGIN AND SIGNING THIS AGREEMENT, I ACKNOWLEDGE THAT MY SECURITIES SECURING ANY MARGIN LOAN MAY BE LOANED TO YOU OR LOANED OUT TO OTHERS. I agree to abide by the margin terms and conditions detailed in the Agreement and understand the risks of margin as outlined in the Margin Disclosure Statement provided to me. I understand I will incur margin interest if I take a margin loan.
- **Internet Access:** You understand that Internet access will be provided to you at account opening. If you want to disable Internet access, you can call the service number on your statement.
- **Electronic Funds Transfer:** You understand that in connection with your brokerage account, you may transfer funds electronically between your cash sweep option and any other eligible account you designate, including accounts held at third parties, pursuant to your instructions and pursuant to the Electronic Funds Transfer terms and conditions in the Agreement. You understand that funds transfers initiated via the Automated Clearing House (ACH) network are governed by the rules of the National Automated Clearing House Association (NACHA).
- **Business Continuity:** You acknowledge that you have received the Ameriprise Financial Business Continuity Plan Disclosure.
- **Financial Interest in Products:** You understand that AFSI has a financial interest in the sales of proprietary products that are manufactured by its affiliates. AFSI and its affiliates receive more revenue from the sale of some financial products and services, particularly those products and services sold under the Ameriprise and RiverSource brands, than for the sale of other products and services. AFSI generally also receives more revenue for securities or products sold in a fee-based account than for those sold with only a sales charge or commission. Higher revenue generally results in greater profitability for the firm. Employee compensation (including management and field leader compensation) and operating goals at all levels of the company are tied to the company's success. Management, sales leaders and other employees generally spend more of their time and resources promoting Ameriprise and RiverSource products and services.
- **Cost Basis for Equities:**
 - **First In First Out (FIFO):**
The first tax lots purchased are the first tax lots sold. The tax lots remaining each maintain their individual tax lot cost.
 - **Highest In First Out (HIFO):**
The tax lots with the highest cost basis are the first tax lots sold. The tax lots remaining each maintain their individual tax lot cost.
 - **Last In First Out (LIFO):**
The last tax lots purchased are the first tax lots sold. The tax lots remaining each maintain their individual tax lot cost.

If specific identification of shares sold is desired, that must be done at the time of sale.

Acknowledgements and Signatures continued on next page...

Acknowledgements and Signatures continued

- **Cost Basis For Mutual Fund:**

- **Average Cost Basis:**

The mutual funds cost basis is the total amount invested averaged over the shares purchased, giving each share the same basis. As new tax lots are purchased, or other adjustments are made, the average cost of the shares is recalculated. For holding period purposes, the first tax lots purchased are the first tax lots sold. Average cost is calculated separately for covered and noncovered shares.

- **Non-Average Cost Basis:**

The lot relief method for the mutual fund account will be the same lot relief method elected for equities on this account, even if there are no equities in the account.

If shares have been sold using average cost, specific identification may be prospectively accounted.

- **Cost Basis for Equities Dividend Reinvestment Plans (DRP):**

- **Non-Average Cost Basis:**

The lot relief method for the account will be the same lot relief method elected for equities on this account, even if there are no equities in the account.

- **Average Cost Basis:**

The cost basis for the affected assets is the total amount invested averaged over the shares purchased, giving each share the same basis. As new tax lots are purchased, or other adjustments are made, the average cost of the shares is recalculated. For holding period purposes, the first tax lots purchased are the first tax lots sold. Average cost is calculated for covered shares only.

- **Bond Elections:**

Revoking certain bond elections may require IRS consent.

- You understand and acknowledge that neither AFSI nor your financial advisor provides tax advice and you must consult your tax professional or attorney regarding tax issues specific to your circumstances.
- **You understand that investment products are not federally or FDIC insured, are not deposits or obligations of, or guaranteed by, any financial institution, and involves investment risks including possible loss of principal and fluctuation in value.**
- **You acknowledge that you have received and read the Agreement and agree to abide by the terms and conditions as currently in effect or as they may be amended from time to time. You hereby consent to all these terms and conditions with full knowledge and understanding of the information contained in the Agreement. This account is governed by a predispute arbitration clause which is found in Section 28, Page 3 of the Agreement. You acknowledge receipt of the predispute arbitration clause.**

Representations, Warranties and Covenants. With respect to any transactions in your Accounts, you represent, warrant and covenant the following:

- You possess the sophistication, expertise and investment knowledge necessary to make informed investment decisions on securities subject to orders you transmit to us.
- You qualify as an 'institutional account' as defined by FINRA Rule 4512.
You will not rely on Ameriprise Financial Services, Inc. for tax, legal or investment recommendations or advice, you will exercise your own discretion and you will independently evaluate relevant factors, including the economic features of the security involved, the complexity of the security, and the associated market, credit and currency risks, if any.
- While you may receive advice or securities recommendations from an Ameriprise Financial Services' advisor, you agree that any advice you receive will not serve as the primary basis for your investment decisions. Ameriprise Financial Services and AEIS cannot guarantee or project the performance of any security or investment. Your advisor will not review or monitor the day-to-day performance of your investments and will not execute any transaction without your prior direction.
- All orders, electronic or otherwise, are unsolicited and are your sole responsibility. You assume full financial responsibility for all transactions executed for your Accounts; you will not hold, nor seek to hold, Ameriprise Financial Services, Inc. or its affiliates liable for any trading losses or other losses.
- If this account is being established by a financial services entity where the source of funds is from client deposits (such as a bank or credit union), you hereby affirm that the entity for which this account is being established is subject to various U.S. anti-money laundering (AML) laws and regulations, and that the entity complies with all such applicable laws and regulations as may be in effect from time to time. Such laws include the Bank Secrecy Act of 1970, as amended, along with other Federal and state statutes subsequently enacted, including the USA PATRIOT Act of 2001, and the regulations administered by the U.S. Department of Treasury's Office of Foreign Assets Control (collectively, the "Acts/OFAC regulations"). You further represent that the entity maintains an Anti-Money Laundering Program and procedures thereunder with respect to all of its subsidiaries and affiliates in order to reasonably comply with applicable U.S. anti-money laundering laws (the "Program") and that the Program contemplates the effect of applicable law and regulations, including those of the Acts/OFAC regulations and, where and as appropriate, will conform to the requirements of the U.S. Treasury regulations promulgated thereunder to date and in the future. You further represent that the Program includes a risk-based "Know Your Customer/Enhanced Due Diligence Program"; record-keeping policies and procedures; systems and procedures for identifying, investigating and reporting suspicious activity; designated compliance officers and a money laundering prevention function; initial and periodic training of appropriate employees; and independent audits, and that the Program is periodically evaluated and enhanced by the entity where appropriate in order to keep pace with the entity's business activities and evolving supervisory activities and requirements.
- All decisions to purchase, sell or hold securities in the Account(s) are to be made by persons whom you have designated as having trading authority for the Account(s).
This account will be considered an "Institutional Account" as that term is defined in the Rules of the Financial Industry Regulatory Authority. You represent to Ameriprise Financial Services, Inc., that you and any authorized persons designated by you are sophisticated in terms of evaluating the merits of any potential investment, and that you are solely responsible for making the final determination as to the appropriateness of any investment decision for the Account(s).
Adherence to any investment standards or similar information outlined in any Investment Policy Statement or similar document is solely and entirely your obligation. Under the terms and conditions of the Ameriprise Institutional Account Agreement neither Ameriprise Financial Services, Inc., nor its affiliates, officers, directors, agents or representatives, are responsible for determining whether or if any investment transaction or series of transactions in the Accounts comply with the terms of any such Investment Policy Statement.

Brokerage, investment and financial advisory services are made available through Ameriprise Financial Services, Inc. (AFSI), Member FINRA and SIPC. Clearing, custody and settlement services are made available by American Enterprise Investment Services, Inc. (AEIS), Member FINRA and SIPC. AFSI and AEIS are subsidiaries of AFI.

Acknowledgements and Signatures continued on next page...

Acknowledgements and Signatures continued

W-9 TIN Certification

Check appropriate box for federal tax classification (required):

☐ Individual/Sole proprietor

☐ Partnership

Corporation

☐ C-Corporation

☐ Trust

☐ S-Corporation

☐ Revocable (Optional Additional Trust Details)

☐ Irrevocable (Optional Additional Trust Details)

Limited Liability Company (LLC)

☐ C-Corporation

☐ Estate

☐ S-Corporation

☐ Other

☐ Partnership

☐ Check here if owner is an Exempt Payee (defined in Form W-9 instructions)

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number, 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 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:

☐ Check this box 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.

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).

Non-U.S. persons should submit the appropriate Form W-8.

Form W-9 and Form W-8 and their instructions are available upon request or on [irs.gov](https://www.irs.gov).

The Internal Revenue Service does not require your consent to any provision of the document other than the certifications required to avoid backup withholding.

All Persons authorized to set up or transact must sign below.

First Authorized Signer

State of:

First Authorized Signer Signature

Date (MMDDYYYY)

X

Second Authorized Signer

Second Authorized Signer Signature

Date (MMDDYYYY)

X

Third Authorized Signer

Third Authorized Signer Signature

Date (MMDDYYYY)

X

Fourth Authorized Signer

Fourth Authorized Signer Signature

Date (MMDDYYYY)

X

Fifth Authorized Signer

Fifth Authorized Signer Signature

Date (MMDDYYYY)

X

Sixth Authorized Signer

Sixth Authorized Signer Signature

Date (MMDDYYYY)

X

Is this account application submitted based on a recommendation by an Ameriprise financial advisor?

☐ Yes

☐ No



If yes, provide the Recommending Advisor ID# and Name below if different than Servicing Advisor.

Name

Advisor ID



It is assumed the Recommending Advisor and Servicing Advisor are the same if the Recommending Advisor is not identified.

Servicing Advisor Information

Name

Advisor ID

Is this account assigned to a Comp Sharing Team ID ?

☐ Yes

☐ No

Comp Sharing Team ID

Advisor Signature

Date (MMDDYYYY)

X

Phone

Ext

Branch Office Number

Promotion Code