

**CLIENT AND REGISTERED REPRESENTATIVE INFORMATION**

Client/Authorized Person Name (as shown on your federal income tax return)

Registered Representative Name and Number

# \_\_\_\_\_

**FORM W-9 INFORMATION – THIS FORM IS NOT TO BE USED BY NONRESIDENT ALIENS AND FOREIGN ENTITIES**

**Taxpayer Identification Number (TIN)** (must match the "Client/Authorized Person" above)

**Social Security Number (SSN):** \_\_\_\_\_  
or

**Taxpayer Identification Number (TIN):** \_\_\_\_\_

**Entity Type/Federal Tax Classification** (check appropriate box)

Individual/Sole Proprietor

C Corporation

S Corporation\*

Partnership

Trust/Estate

Other (specify): \_\_\_\_\_

Limited Liability Company

**For Limited Liability Companies, indicate the type of LLC:**

C Corporation

S Corporation\*

Partnership

**Exempt Payee** (check only if you are exempt from backup withholding)

\*For S Corporations, check here if you are a financial institution:

**Certification:** Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), **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 of dividends, or **(c)** the IRS has notified me that I am no longer subject to backup withholding, **and**
3. I am a U.S. person (including a U.S. citizen or U.S. resident alien); **and**
4. I am exempt from Foreign Account Tax Compliance Act (FATCA) reporting.

**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. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the Certification, but you must provide your correct TIN.

**Client Signature (required)**

**Date of Signature (required)**

Client/Authorized Person Signature — W-9 Certification

Date of Signature

(continued on next page)

# Client Signature Page, cont.

**CUSTOMER AGREEMENT** To be signed by the client in order to open and establish one or more Accounts.

- TO:** Royal Alliance Associates, Inc. ("BD")  
 PERSHING LLC ("PERSHING") (ALL REFERENCES TO PERSHING RELATE TO BROKERAGE ACCOUNTS ONLY)
- A. I hereby acknowledge that BD is acting as a broker-dealer only with respect to this account. BD is not acting as an advisor or fiduciary unless I have executed a separate advisory contract.
  - B. In consideration of your opening and/or carrying one or more accounts on my behalf, I hereby acknowledge by my signature below that I have received, read, understand and agree to the terms set forth in the Customer Agreement of this application and the Disclosure of Credit Terms on Transactions.
  - C. I hereby consent to have my account, and all subsequent and future account(s) opened for me by BD, be included in the BD's Sweep Program. I understand that my account(s) will automatically default to the sweep product(s) indicated in the Sweep Product Table below, and eligibility to the sweep product(s) are dependent on the account type(s) indicated in the Sweep Product Table.
  - D. By entering your signature below, you
    - (i) are providing affirmation for your account(s) to participate in the BD's Sweep Program;
    - (ii) hereby consent to having Free Credit Balances in your account(s) included in the BD's Sweep Program
    - (iii) acknowledge that you have been notified of the general terms and conditions of the products made available to you within the Sweep Program;
    - (iv) understand that BD may change the list of eligible products made available to you within the Sweep Program; and
    - (v) should you in the future decide to remove your account(s) from participating in the BD's Sweep Program, you may do so by simply notifying your Financial Advisor.

Sweep Product Table			
Account Type	Custodian	Sweep Product Name <small>(Internal Identification Symbol)</small>	Sweep Product Type
<b>Any account belonging to a Natural Person (SSN) client, such as Individual, Joint, Joint Tenants WROS, Community Property, Tenants in Common, Sole Proprietorship, and Partnership Accounts, but excluding Natural Person (SSN) IRA accounts.</b> <b>Natural Person (SSN) Trust accounts will not default to this particular sweep product, but are eligible to use this product as an alternate sweep product.</b>	Pershing	Insured Deposit Account <small>(AIGI)</small>	Multi-Bank FDIC Insured Deposit Program
<b>Any account for an entity client with a Taxpayer Identification Number (TIN), such as Trust, Corporate, and for-profit Entity accounts.</b> <b>This sweep product also serves as default product for Trust accounts belonging to a Natural Person (SSN) client.</b>	Pershing	SunAmerica Money Market Fund <small>(SMM)</small>	Money Market Mutual Fund <small>(2a-7 Fund)</small>
<b>Traditional, Roth, and SEP IRAs utilizing SunAmerica Trust Company as Custodian.</b>	SunAmerica Trust Company (STC)	STC Insured Deposit Account <small>(STID)</small>	Multi-Bank FDIC Insured Deposit Program
<b>Traditional, Roth, and SEP IRAs utilizing Pershing, LLC as Custodian</b>	Pershing	Pershing Government Reserve Fund <small>(PGR)</small>	Money Market Mutual Fund <small>(2a-7 Fund)</small>
<b>All Investment Advisory Accounts and all Employer Sponsored Retirement Plans/Accounts (subject to ERISA) utilizing Pershing or Third-Party Custodians.</b> <b>Examples include: 401(k), Profit Sharing, Defined Benefit, Cash Balance, ERISA 403(b), Money Purchase, and Simple 401(k) plans.</b>	Pershing & Third-Party Custodians	Federated Government Reserve Fund <small>(FGR)</small>	Money Market Mutual Fund <small>(2a-7 Fund)</small>

The Customer Agreement contains a pre-dispute Arbitration Provision. This provision is contained on Page 1, Section 1 of the Customer Agreement and appears in bold print.

<b>Client Signature (required)</b>	<b>Date of Signature (required)</b>

Client/Authorized Person Signature — Customer Agreement

Date of Signature