

OFFICE # \_\_\_\_\_ ACCOUNT # \_\_\_\_\_ T \_\_\_\_\_ CK \_\_\_\_\_ ACCOUNT EXECUTIVE # \_\_\_\_\_

A. ACCOUNT TYPE

- Individual
- JTWROS
- Tenants in Common
- Tenants by Entirety
- Transfer on Death
- IRA
- IRA ROTH
- IRA KEOUGH
- SEP IRA
- IRA Education
- IRA Guardian
- IRA Rollover
- Escrow Individual
- UGMA
- UTMA
- Other Specify: \_\_\_\_\_

CLASS CODE \_\_\_\_\_ SUB CLASS CODE \_\_\_\_\_ ACCOUNT SSN#/TAX ID \_\_\_\_\_ ACCOUNT WILL BE TRADING

Cash  Margin  Short  Futures\*  
 (\*Complete Futures Addendum)

B. ACCOUNT NAME (In Full)

TITLE FIRST NAME MIDDLE LAST NAME SUFFIX

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

# Beneficial Owners for Acct: \_\_\_\_\_

Country (& State) of Citizenship of Primary Account Holder: \_\_\_\_\_

Home Phone: \_\_\_\_\_

Business Phone: \_\_\_\_\_

C. ACCOUNT MAILING ADDRESS

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

D. ALTERNATE ADDRESS  
 (Must be provided if Mailing Address is a PO Box)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Business  Residence  Vacation

E. ACCOUNT INFORMATION

INVESTMENT OBJECTIVE: \_\_\_\_\_

NET WORTH: \_\_\_\_\_ ANNUAL INCOME: \_\_\_\_\_

INVESTMENT ADVISOR NAME & ADDRESS (If Applicable)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

NAME & BUSINESS ADDRESS OF PERSON WITH TRADING AUTHORITY (If Applicable)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Title: \_\_\_\_\_

SELL INSTRUCTIONS: 07 Hold Proceeds  
08 Send Proceeds Direct to Customer

DIVIDENDS: Send Check Hold Income Acct. Direct Dep.

NAME OF AE: \_\_\_\_\_ Phone: \_\_\_\_\_

AE TRADING AUTHORITY?: Yes No

AE Registered in Customer's State of Residence? Yes No

Is AE Related? Yes No State Relationship: \_\_\_\_\_

Account Introduced to AE by: \_\_\_\_\_

AE Known How Long?: \_\_\_\_\_

Trading Authorization will be: Limited Gen. Pwr. of Atty.

Initial Transaction: Shares Deposit AMOUNT: \_\_\_\_\_

Reason for Waive of Deposit: \_\_\_\_\_

Bank and other References: \_\_\_\_\_

Have you sent forms to Customer?: Yes No

INVESTMENT EXPERIENCE: None Low Med High

Is this account a "Private Banking Account" as defined in Section 312 of the USA Patriot Act? Yes No [See definition on page 4]

I HAVE MADE THE FOLLOWING DISCLOSURE TO THIS CUSTOMER: Yes No

This Firm is committed to complying with U.S. statutory and regulatory requirements designed to combat money laundering and terrorist financing. The USA PATRIOT Act requires that all financial institutions obtain certain identification documents or other information in order to comply with their customer identification procedures. Until you provide the required information or documents, we may not be able to open an account or effect any transactions for you.

**F. CLIENT / BENEFICIAL OWNER / AUTHORIZED PARTIES**

This information must be filled out for EACH Individual. Please use a separate page for each Individual.

For **US Individual & Joint Accounts**: No documentation required at account opening. A copy of a driver's license or other valid, government-issued picture ID may be requested for verification purposes upon review of the account.

For **Non-US Individual & Joint Accounts**: Please attach to this form a copy of a valid, government-issued picture ID evidencing nationality for each Individual. The documentation must be presented prior to account opening.

For **Trading Authority / Power of Attorney** only questions 1, 1a, 10, 18 and 19 are required.

<b>1. Name of Individual (First, Middle, Last Name)</b>	<b>1a. Type of Client/Beneficial Owner/Authorized Party (See page # 4 of instructions):</b>
<b>2. Has an Account for this Individual been established since 10/01/03?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, list Account Numbers:	
<b>3. Date of Birth:</b>	<b>5. SSN/Tax ID Number: (Required for US Citizens)</b>
<b>4. Is the Individual a US Citizen?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No  If no, Country of Citizenship:	<b>5a. If SSN/Tax ID is not available, Passport No./Alien Reg. No./Other Valid Gov't-Issued ID No.:</b>  <b>5b. Type of ID, if not Passport or Alien Reg. Card:</b>
<b>6. Home Address: (If different from Account Address)</b>	<b>7. Home Mailing Address: (If different from Account Address)</b>
<b>8. Home Phone: (If different from Account Home Phone)</b>	<b>9. Business Phone: (If different from Account Business Phone)</b>
<b>10. Principal Business Address:</b>	<b>11. Business Mailing Address: (If different from Principal Business)</b>
<b>12. Employment Status:</b> <input type="checkbox"/> Employed <input type="checkbox"/> Self-Employed <input type="checkbox"/> Unemployed  Employer's Name: _____ Member Firm? <input type="checkbox"/> Yes <input type="checkbox"/> No  Occupation: _____	<b>13. Marital Status:</b> <input type="checkbox"/> Single <input type="checkbox"/> Married  <b>13a. If married, Spouse's Occupation:</b>
<b>14. Estimated Net Worth: (US \$)</b>	<b>15. Annual Income: (US \$)</b>
<b>16. Sources of Wealth:</b> <input type="checkbox"/> Employment <input type="checkbox"/> Inheritance <input type="checkbox"/> Investment <input type="checkbox"/> Other, Explain:	<b>17. Sources of Assets on Deposit:</b> <input type="checkbox"/> Employment <input type="checkbox"/> Inheritance <input type="checkbox"/> Investment <input type="checkbox"/> Other, Explain:
<b>18. Is the Individual currently or formerly a Foreign Political Figure, an Immediate Family Member or a Known Close Associate?</b> <input type="checkbox"/> No. <span style="float: right;">[See Definition on Page 4]</span> <input type="checkbox"/> Yes. Please contact Compliance Officer and Anti-Money Laundering Group in the Legal Dept. before conducting trading activity.	
<b>19. Is any Citizenship, or Address associated with this account from a country included in the High Risk List on page 4?</b> <input type="checkbox"/> No. <input type="checkbox"/> Yes. Please contact Compliance Officer and Anti-Money Laundering Group in the Legal Dept. before conducting trading activity.	

ACCOUNT # \_\_\_\_\_

**G. INTERESTED PARTIES**

I/P # 1    # CONFIRMS \_\_\_\_\_ #STATEMENTS \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

I/P # 2    # CONFIRMS \_\_\_\_\_ #STATEMENTS \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

I/P # 3    # CONFIRMS \_\_\_\_\_ #STATEMENTS \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

I/P # 4    # CONFIRMS \_\_\_\_\_ #STATEMENTS \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**DVP ACCOUNTS ONLY:**

ALERT DVP? Yes No    If Yes, ALERT Acronym: \_\_\_\_\_

Sub Account Details:

ACCESS Code: \_\_\_\_\_

Instructions Attached: Yes No

Delivery Instructions:

Sub-Account Name: \_\_\_\_\_

Agent Bank Name: \_\_\_\_\_

Account Number: \_\_\_\_\_

Agent Bank DTC Delivery Number: \_\_\_\_\_

Group Number: \_\_\_\_\_

Agent ID Number: \_\_\_\_\_

Customer Short Name: \_\_\_\_\_

Internal Account Number: \_\_\_\_\_

Account Name: \_\_\_\_\_

Institutional ID Number: \_\_\_\_\_

**For AML DUE DILIGENCE GROUP USE ONLY:**

Date Received: \_\_\_\_\_

**Commercial Vendor ID Verification:**

Name of Reviewer: \_\_\_\_\_

Positive Negative Inconclusive

Risk Level: \_\_\_\_\_

If Negative or Inconclusive:

Drivers License or Other Valid Gov't Issued Picture ID

Approved by: \_\_\_\_\_

Requested on Date: \_\_\_\_\_

Final ID Approval: Yes No

Date: \_\_\_\_\_

I certify that I have received and reviewed the requisite information and documentation for this account in accordance with Bear Stearns' anti-money laundering procedures and have conferred with the Registered Representative and the Branch Manager/Compliance Officer/Other Authorized Party concerning the results of such review.

Signature of New Accounts Coordinator: \_\_\_\_\_

Date: \_\_\_\_\_

Signature of Registered Representative: \_\_\_\_\_

Date: \_\_\_\_\_

Signature of Branch Mgr/Compliance Officer: \_\_\_\_\_

Date: \_\_\_\_\_

## CLIENT / BENEFICIAL OWNER / AUTHORIZED PARTIES

**Customer:** The nominal owner of an account.

**Partner:** An owner or investor in a partnership. A general partner has the right to participate in the management of a partnership. A limited partner has little to no influence in the management of a partnership.

**Shareholder:** An owner or investor in a corporation.

**Member:** An owner or investor in a limited liability corporation.

**Settlor/Grantor:** The person who owns property conveyed to an estate, living will or trust.

**Trustee:** A person or entity that oversees and manages a trust.

**Custodian:** Under the Uniform Transfer (or Gift) to Minors Act, the person appointed to manage and dispense funds for a child.

**Guardian:** A person or entity named in a will, guardianship, or court order who is responsible for the care of minor children or incompetent adults.

**Executor:** The person or entity named in a will who has responsibility for carrying out the terms of the will.

**Conservator:** A person or entity appointed by a court to manage the property and financial affairs of another (usually incompetent) person.

**Receiver:** A person appointed by a court possessing jurisdiction to receive the rents and profits of land, or the profits or produce of other property in dispute.

**Investment Advisor:** A person who manages assets, making portfolio composition and individual security selection decisions.

**Officer:** A person with day-to-day responsibility for running a corporation, such as the chief executive, chief financial officer and treasurer.

**Principal:** A person who designates another to act as his/her attorney in fact or agent.

**Director:** A person appointed or elected according to law, authorized to manage and direct the affairs of a corporation or company. The whole of the directors collectively form the board of directors.

**General Partner:** A partner in a partnership whose liability is not limited. All partnerships must have at least one general partner. A general partner is usually also involved in the day-to-day management of the partnership. A limited partnership may also have limited partners who are basically investors and whose liability for partnership debts is limited.

**Trading Authority:** A person who is authorized to conduct trades and provide instructions for a customer's account.

**Power of Attorney:** An instrument by which one person authorizes another to act for him in a manner which is as legally binding upon the person giving such authority as if he personally were to do the acts.

**Foreign Political Figure:** A "Foreign Political Figure" is an official of a foreign government, an official of a major foreign political party or an executive of a foreign government-owned corporation. In addition, a Foreign Political Figure includes any corporation or other business formed by, or for the benefit of, a Foreign Political Figure. An "Immediate Family Member" of a Foreign Political Figure includes the person's parents, siblings, spouse, children and in-laws. A "Known Close Associate" of a Foreign Political Figure is a person who is widely and publicly known (or who is actually known by Bear Stearns or the introducing broker-dealer) to maintain a close personal or professional relationship with a Foreign Political Figure.

**Private Banking Account:** A "Private Banking Account" is an account (or any combination of accounts) that requires minimum aggregate deposits of at least \$1 million, that is established for one or more individuals, and that is assigned to or administered or managed by, in whole or in part, an officer, employee, or agent of a financial institution and the direct or beneficial owner of the account.

## HIGH RISK COUNTRY & JURISDICTION LIST

Afghanistan  
Angola  
Bosnia & Herzegovina  
Burma (Myanmar)  
Cook Islands  
Cuba  
Egypt  
Guatemala  
Indonesia  
Iran  
Iraq  
Liberia  
Libya  
Nauru  
Nigeria  
North Korea  
Philippines  
Serbia & Montenegro  
St. Vincent & The Grenadines  
Sudan  
Syria  
Ukraine  
Yugoslavia FR

**FUTURES ACCOUNT ADDENDUM FOR NEW ACCOUNTS**

Type of Account

- Individual                       Partnership                       Omnibus Account  
 Joint                                       Trust                                       Commodity Pool  
 Corporation                       Foreign Account                       Other (Specify) \_\_\_\_\_

TRADING EXPERIENCE	NONE	1 YEAR	2 YEAR	OVER 3 YEARS
Commodities				
Options				
Stocks/Bonds				
Other				

Estimated Liquid Assets: \_\_\_\_\_

Security or Commodity Accounts with Other Firms: (List Firms):

Other Security or Commodity Accounts at Bear Stearns :

- Does this account control the trading in any other account?                       Yes    No  
 Does any other person(s) control the trading of this account?                       Yes    No  
 Does any other person have a financial interest in this account?                       Yes    No  
 Does any other person guarantee this account?                       Yes    No  
 If yes, specify:

Name: \_\_\_\_\_ Address: \_\_\_\_\_

Information regarding the commission status must be fully completed:

Commission Rates \_\_\_\_\_  Inclusive    +Fees

Indicate how commissions will be charged:      Futures  Round Turn    Half Turn  
 Options  Round Turn    Half Turn  
 Indicate if account is to be converted to US\$:       Yes    No

**Foreign Commodity Exchanges:** Indicate the foreign commodity exchanges account will be trading and the native currency rates to be charged:

Exchange: \_\_\_\_\_  
 Rate: \_\_\_\_\_

I certify that I have received and reviewed the requisite information and documentation for this account in accordance with Bear Stearns' anti-money laundering procedures and have conferred with the Registered Representative and the Branch Manager/Compliance Officer/Other Authorized Party concerning the results of such review.

Signature of New Accounts Coordinator: \_\_\_\_\_ Date: \_\_\_\_\_

Signature of Registered Representative: \_\_\_\_\_ Date: \_\_\_\_\_

Signature of Branch Mgr/Compliance Officer: \_\_\_\_\_ Date: \_\_\_\_\_

