

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 Taxpayer Identification Number

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	Sweep Product Type
All Retail Brokerage Accounts, Non-IRAs. Includes Investment Advisory Accounts.	Pershing	FDIC Insured Deposit Program	Multi-Bank FDIC Insured Deposit Program
SunAmerica Trust Company (STC) IRAs only	SunAmerica Trust Company (STC)	STC Insured Deposit Account	Multi-Bank FDIC Insured Deposit Program
Pershing, LLC IRAs only	Pershing	FDIC Insured Deposit Program	Multi-Bank FDIC Insured Deposit Program
All ERISA Title 1 Account Types & 403(b)(7) Accounts (includes third party custodians)	Pershing & Third-Party Custodians	Federated Government Reserve Fund	Money Market Mutual Fund (2a-7 Fund)

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.

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

Client/Authorized Person Signature — Customer Agreement

Date of Signature