



Ameriprise Financial Services, Inc. 70100 Ameriprise Financial Center Minneapolis, MN 55474

# Ameriprise® Brokerage

## Non-Qualified Account Application



For Internal Use Only

Account Number 133

### Part 1 Account Owner Details

Account Owner	Joint Account Owner (if applicable)
Complete Legal Name <input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Dr. <input style="width: 95%;" type="text"/>	Complete Legal Name <input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Dr. <input style="width: 95%;" type="text"/>
Social Security or Tax ID Number <input style="width: 95%;" type="text"/>	Social Security or Tax ID Number <input style="width: 95%;" type="text"/>
Citizenship Status Citizenship: <input style="width: 95%;" type="text"/>	Citizenship Status: Citizenship: <input style="width: 95%;" type="text"/>
Resident Address (cannot use P.O. Box) <input style="width: 95%;" type="text"/>	Resident Address (cannot use P.O. Box) <input style="width: 95%;" type="text"/>
City <input style="width: 25%;" type="text"/> State <input style="width: 10%;" type="text"/> Zip Code <input style="width: 15%;" type="text"/>	City <input style="width: 25%;" type="text"/> State <input style="width: 10%;" type="text"/> Zip Code <input style="width: 15%;" type="text"/>
Alternate Address (if applicable): <input type="checkbox"/> Business <input type="checkbox"/> P.O. Box <input style="width: 95%;" type="text"/>	Home Phone <input style="width: 20%;" type="text"/> Business Phone <input style="width: 20%;" type="text"/>
City <input style="width: 25%;" type="text"/> State <input style="width: 10%;" type="text"/> Zip <input style="width: 15%;" type="text"/>	Occupation <input style="width: 95%;" type="text"/>
Note: Mail will be sent to the resident address unless specified above.	Employer <input style="width: 95%;" type="text"/>
Home Phone <input style="width: 20%;" type="text"/> Business Phone <input style="width: 20%;" type="text"/>	<input type="checkbox"/> Retired <input style="width: 10%;" type="text"/> Years Employed <input style="width: 10%;" type="text"/>
Occupation <input style="width: 95%;" type="text"/>	Date of Birth <input style="width: 15%;" type="text"/> Marital Status <input style="width: 15%;" type="text"/> E-mail Address <input style="width: 15%;" type="text"/>
Employer <input style="width: 95%;" type="text"/>	Mother's Maiden Name <input style="width: 95%;" type="text"/>
<input type="checkbox"/> Retired <input style="width: 10%;" type="text"/> Years Employed <input style="width: 10%;" type="text"/>	Annual Income <input style="width: 95%;" type="text"/>
Date of Birth <input style="width: 15%;" type="text"/> Marital Status <input style="width: 15%;" type="text"/> E-mail Address <input style="width: 15%;" type="text"/>	
Mother's Maiden Name <input style="width: 95%;" type="text"/>	
Annual Income <input style="width: 20%;" type="text"/> Tax Bracket <input style="width: 20%;" type="text"/>	
Total Net Worth (exclude family residence) <input style="width: 40%;" type="text"/>	Liquid Net Worth <input style="width: 20%;" type="text"/> Number of Dependents <input style="width: 10%;" type="text"/>

### Part 2 Account Type

Individual   
  Joint/Rights of Survivorship   
  Tenants in Common   
  Custodial   
  Trust<sup>1</sup>   
  Corporate<sup>1</sup>  
 Other<sup>1</sup>  (specify account type)

<sup>1</sup>Additional paperwork required. Speak with your Ameriprise financial advisor. Certain restrictions apply.





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Part 3 Margin Privileges<sup>1</sup>

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 using. Margin lending allows you to borrow funds to purchase securities, withdraw cash, or use to provide overdraft protection for your Ameriprise® ONE Financial Account features. You will incur margin interest if you take a margin loan. Margin is not available on all ownerships. Certain ownerships such as trusts, corporations and LLCs should review their legal documents with their own legal counsel to determine if margin lending is permitted. Check this box if you agree to have a margin account

<sup>1</sup> By selecting margin, you authorize American Enterprise Investment Services, Inc. to review your credit history including information on credit bureau reports.

Part 4 Cash Balance Program<sup>1</sup>

Non-Qualified Account Types

Ameriprise® Cash<sup>2</sup>

Investment Only and Delaware Charter Prototype Plan Account Types

Dreyfus General Money Market Fund - Class A<sup>3</sup>

<sup>1</sup> Uninvested cash balances will sweep daily into the designated money settlement option. If you select a money settlement option not available to you or you do not select one, we will place you in the default as noted above.

<sup>2</sup> An interest-bearing free credit balance held in your brokerage account by American Enterprise Investment Services, Inc., an affiliate clearing broker of Ameriprise Financial Services, Inc., and is covered by SIPC.

<sup>3</sup> The Dreyfus Corporation is a part of Bank of New York Mellon Asset Management and offers a broad range of equity, fixed-income and other financial products. For more information about the Dreyfus Corporation or funds, visit www.dreyfus.com.

Part 5 Investment Experience

Years of trading experience:

Stocks  Mutual Funds  Bonds  Options

Average number of trades per year:

Stocks  Mutual Funds  Bonds  Options

Average size of trade:

Stocks  Mutual Funds  Bonds  Options

Current portfolio:

List brokerage firms and other investment advisors you have or had accounts with:

List financial publications or information services you subscribe to:

Part 6 Risk Tolerance and Objectives

What is your risk tolerance? (select all that apply - see definitions below for clarity)

Conservative  Moderate  Aggressive

What is your investment objective? (select all that apply - see definitions below for clarity)

Income  Growth  Speculation

What is your investment timeframe? (select only one)

Less than 1 year  1 - 3 years  4 - 7 years  8 - 10 years  11+ years

*Risk Tolerance and Objectives continued on next page...*



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Risk Tolerance and Objectives Continued

Risk Tolerance Definitions

Conservative: A low tolerance for risk and willingness to accept modest degree of risk of loss of principal in the Portfolio. Modest down years in investment performance are acceptable.

Moderate: A medium tolerance for risk and willingness to accept moderate risk of loss of principal in the Portfolio. Moderate down years in investment performance are acceptable.

Aggressive: A high tolerance for risk and willingness to accept substantial risk of loss of principal in the Portfolio.

Investment Objectives Definitions

Income: A preference for investments that produce income rather than capital appreciation.

Growth: A preference for assuming risk consistent with the opportunity for appreciation in value.

Speculation: Investments or investment strategies that assume a higher than normal market risk with the opportunity for commensurate gain.

Part 7 Additional Information

Are you associated with a stock exchange or FINRA member firm (if yes, attach letter of approval)

Yes No

Are you related to an employee of Ameriprise Financial, Inc.?

Yes No

If yes, name him or her, and relationship:

Are you an employee of Ameriprise Financial, Inc. or any of its affiliates?

Yes No

Are you a policy-making officer, director or 10% stockholder of any publicly traded company?

Yes No

If yes, name company:

(Form 144 is required for the sale of these securities)

Ameriprise Enterprise Investment Services, Inc. reserves the right to release your name, address and securities positions to requesting companies in which you own securities, unless you check this box.

How did you hear about Ameriprise Financial, Inc.?

- Existing Client, Referral from family or friend, Referral from H&R Block Tax Professional, Direct mail, Internet, Phone call, Newspaper, Others

Part 8 Acknowledgements and Signatures

Read these acknowledgements carefully and then sign and date this section. "You" and "Your" refer to you the applicant. "I", "We" and "Us" refer to Ameriprise Financial Services, Inc. (AFSI), American Enterprise Investment Services, Inc. (AEIS) or Ameriprise Bank, FSB (AMPFSB) who are subsidiaries of Ameriprise Financial, Inc. (AFI).

By signing this application, you acknowledge that: a) the information you provided is correct, b) you agree to all terms and conditions stated herein, c) you authorize all activity indicated within this application.

General Acknowledgements:

You affirm that you are at least 18 years of age and of full legal age in your state of residence.

- 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.
Householding: You understand that AFSI and its affiliates may use and combine information concerning certain accounts owned by you and other members of your primary household group to provide members of the group with paper and/or electronic statements of account(s), account information and, for certain products and services, advantageous pricing or fees (we call these uses of Client Information "householding"). The types of accounts that may be included are: investment, insurance, annuity, and brokerage accounts; this includes features linked to brokerage accounts. A primary household consists of an individual, his or her spouse or domestic partner, and their unmarried children under age 21 who reside at the same address. If you want to have a statement covering only accounts that you own and not participate in household pricing, you can call your Ameriprise financial advisor or the service number on your statement.



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## Acknowledgements and Signatures Continued

- **Householding for Shareholder Documents:** You understand that AFSI may use and combine information concerning accounts owned by members of a household to provide them with a single paper copy of shareholder documents. Prospectuses, supplements, annual reports, semiannual reports and proxies may be included. Under this, household is defined as two or more shareholders who share the same address and either share the same last name or have indicated that they are married or domestic partners. This remains in effect unless notified otherwise. You understand that if you wish to continue receiving multiple copies of prospectuses, supplements, annual reports, semiannual reports and proxies, you can call 1 (866) 273-7429 and reference the client number found on your statement. Multiple mailings will resume within 30 days of the request.
- **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 by third parties, pursuant to your instructions and pursuant to the Electronic Funds Transfer terms and conditions in the *Ameriprise* Brokerage Client 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).
- **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.
- **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.
- **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.**

**Acknowledgment for Investment Only Accounts and Accounts Custodied with Delaware Charter:**

- You acknowledge that you have received and read the Ameriprise Brokerage Client Agreement for Tax-Qualified (IRA, Qualified Plans, TSCA) Brokerage Accounts and the Ameriprise Qualified Plan Investment Provider Agreement (referred to collectively as the "Agreements") and agree to abide by the terms and conditions of the Agreements 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 Agreements. This account is governed by a predispute arbitration clause which is found in Section 25, page 3 of the Ameriprise Brokerage Client Agreement for Tax-Qualified (IRA, Qualified Plans, TSCA) Brokerage Accounts and Section 17 of the Ameriprise Qualified Plan Investment Provider Agreement. You acknowledge receipt of the predispute arbitration clause found in each of the Agreements.

**Acknowledgment for Non-Qualified Accounts:**

- You acknowledge that you have received and read the Ameriprise Brokerage Client Agreement for Non-Qualified Brokerage Accounts ("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 26, page 3 of the Agreement. You acknowledge receipt of the predispute arbitration clause.

**Additional Acknowledgements:**

- **Margin:** You agree to the margin terms and conditions and understand the risks of margin lending as outlined in the Margin Disclosure Document provided to you. You authorize AEIS to lend to itself or to others, either separately or in common, any holding in your account being held as collateral for a margin loan.
- **Ameriprise ONE Financial Account:** You authorize us to upgrade your account to an *Ameriprise ONE* Financial Account and establish check writing privileges at our processing bank, whether designated as such or not at the time of application, pursuant to the *Ameriprise ONE* Financial Account terms and conditions in the *Ameriprise* Brokerage Client Agreement.
- **Check Writing Feature:** You authorize us to initiate an electronic funds transfer either to or from your check writing feature pursuant to instructions from you or your Ameriprise financial advisor and pursuant to the Electronic Funds Transfer terms and conditions in the *Ameriprise* Brokerage Client Agreement.

The *Ameriprise ONE* Financial Account is a brokerage account with cash management features. Brokerage, investment and financial advisory services are made available through Ameriprise Financial Services, Inc., Member FINRA and SIPC. Clearing, custody and settlement services are made available by American Enterprise Investment Services, Inc., Member FINRA, SIPC and NYSE. Certain deposit, lending and personal trust products and services are provided to Ameriprise Financial Services, Inc. by Ameriprise Bank, FSB, Member FDIC.

*Acknowledgements and Signatures continued on next page...*



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Acknowledgements and Signatures Continued

Under penalties of perjury, you certify that:

- 1. The number shown on this form is your correct taxpayer identification number, and
- 2. You are not subject to backup withholding because: (a) you are exempt from backup withholding, or (b) you have not been notified by the Internal Revenue Service (IRS) that you are subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified you that you are no longer subject to backup withholding, and
- 3. You are a U.S. citizen or other U.S. person (defined below).

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).

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. Form W-9 instructions are available upon request or on irs.gov.

Agreement for Ameriprise ONE Financial Account Features: You agree that the taxpayer certification shall be used for tax reporting by AEIS for your brokerage account and will be provided to AMPFSB for any bank product being established through the Ameriprise ONE Financial Account. You further agree that AEIS will submit this certification to AMPFSB for purposes of establishing any bank accounts.

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

Account Owner Signature

State

Date (MMDDYYYY)

X

Joint Account Owner Signature (if applicable)

Date (MMDDYYYY)

X

Patriot Act Customer Identification

To help the government fight the funding of terrorism and money laundering activities, federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account. What this means for you: When you open an account, we will ask you for your name, address, date of birth and other information that will allow us to identify you. We may also ask to see your driver's license or other identifying documents

Account Owner:

Government Issue ID:  Driver's License/State ID  Passport  Alien Registration  Other

ID Number Issuing state or Country Expiration Date

Joint Account Owner (if applicable):

Government Issue ID:  Driver's License/State ID  Passport  Alien Registration  Other

ID Number Issuing state or Country Expiration Date

Recommending Advisor Information

Is this transaction 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.

Recommending 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

Servicing Advisor Name

Advisor ID

Servicing Advisor Signature

Date (MMDDYYYY)

X

Team ID (if applicable)

Comp% (if applicable)