



Change of Ownership/Annuitant

Client ID

- i**
- A new or existing Brokerage account in the desired ownership must be listed in the **Transfer to Another Existing Account Held in the Requested Ownership section.**
 - Full account ownership transfers will inactivate arrangements and features on the original account including, but not limited to: check writing, systematic payouts, bank authorizations, dividend methods, etc.
 - This form may not be used for Qualified Accounts, except in limited situations (Divorce and Inherited IRA to Inherited IRA transfer).
 - Annuities linked to a brokerage or SPS account must match the registration of the brokerage or SPS Advantage Account.
 - If the new owner is a revocable trust or an irrevocable grantor trust, the annuitant must be the grantor of the trust to assure compliance with Section 72(s) of the Internal Revenue Code. For joint grantor trusts, both grantors must be annuitants, unless only one grantor's separate property is used to fund the annuity, in which case that grantor must be the annuitant.
 - This form must be signed by all new owners or Authorized Person(s).
 - This form should not be used for policies issued by RiverSource Life Insurance Company of New York.
 - Ownership changes on *RiverSource*[®] annuities issued in California with the *Enhanced Legacy*[®] or *SecureSource Legacy*[®] benefit require the acknowledgment to be initialed.

Product (Select all that apply):

Brokerage and Managed Accounts Certificates Life Insurance policies and Annuity contracts

Current Client and Account Information

| | | |
|---|----------------------------------|----------------------|
| Client or Trustee First Name | MI | Last Name |
| <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Client ID | <input type="text" value="001"/> | |
| Additional Client or Trustee First Name | MI | Last Name |
| <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Client ID | <input type="text" value="001"/> | |
| Entity or Trust Name | <input type="text"/> | |
| Client ID | <input type="text" value="001"/> | |



Note: For 004, 141 admin codes below Account Number will be Contract Number.

Account Number 1

Account Number 2

| | | | |
|--|--|--|--|
| | | | |
|--|--|--|--|

Is this ownership change request for an account currently registered under UGMA/UTMA where the former minor has now reached age of majority?

Yes

No

Is the former minor retaining ownership?

Yes

No

Note: the former minor's signature must be notarized

Gifts or Value Received Information

Is the Change of Ownership due to a divorce?

Yes

If the divorce decree and information provided on this form do not match, a signed and dated letter of clarification by both parties may be required.

No

Life Insurance policies and Annuity contracts only



- Gift: A transfer of assets to an individual where full value is not received in return. The owner is 'giving' the assets/positions to the new owner.
- For value received: A transfer of assets where the original owner receives full value payment for the assets from the new owner. The new owner is 'buying' the assets/positions from the original owner at fair market value (FMV).



Questions *below* are valid for Life Insurance policies or Annuity contracts ONLY.

Is this transfer a gift? *If no option is selected, the default is gift.*

Yes You hereby absolutely and unconditionally sell, transfer and convey with the intention of making a gift.

No You hereby absolutely and unconditionally sell, transfer and convey for full value received.

Is this a transfer to a spouse, owner's revocable trust, owner's living trust, spouse's revocable trust, or spouse's living trust?

Yes

No



Generally, any transfer of annuity ownership, whether by gift or for value received, is a taxable event. A transfer of a life insurance policy is generally not a taxable event but may be subject to gift taxes. You may request an IRS Form 712 for your life insurance transfer by contacting our home office. Consult your tax adviser, a Form 1099 may be issued.

Brokerage and Managed Accounts



- Gift: A transfer of assets to an individual where full value is not received in return. The owner is 'giving' the assets/positions to the new owner.
- For value received: A transfer of assets where the original owner receives full value payment for the assets from the new owner. The new owner is 'buying' the assets/positions from the original owner at fair market value (FMV).

Third Party Annuity or Insurance (Except RiverSource® annuities linked to a brokerage account (Prefix 9925))

- This form cannot be used to change ownership, request changes due to a divorce settlement, or enable hold restrictions for annuity contracts and/or insurance policies linked to the indicated brokerage account number.
- Ameriprise Financial cannot process the ownership change for annuities or insurance products held at a third party carrier. Please contact the carrier directly to obtain the required paperwork and to facilitate the desired ownership change.



If no option is selected, the default is gift. However, the scenarios below will be treated as a Sale for Full Value Received in accordance with tax reporting regulations.

Is this transfer a Gift?

- Transferring ownership between spouses (includes adding/removing a spouse as joint owner or transferring from one spouse to another. Does not include transfers to a non-resident alien spouse.)
- Transferring between a person and their revocable trust. The SSN of the person must be the registered taxpayer of the trust. (Includes transfers to a spouse's revocable trust.)
- Transferring to an ex-spouse due to divorce or court order related to divorce adding or removing spouse as joint owner due to divorce.

- Yes No - if 'No', select one of the following options.
- Sale for Full Value Received Other

Specify other

Is any current owner or recipient of the transfer a:

- Spouse Ex-Spouse Other

Specify other

Is this transfer pursuant to divorce decree?

- Yes No

If the current owner is a trust, select the type of trust:

- Revocable Trust
- with one Grantor with two Grantors who are spouses with multiple Grantors
- Irrevocable Trust
- Irrevocable Trust treated as Grantor Trust

If the account is currently owned by a revocable trust, is the transfer due to the death of a grantor of a revocable trust?

- Yes

Date of death of grantor
MM/DD/YYYY

if 'Yes', date of death of the grantor is required (Death certificate is required if one is not on file)

- No

Transfer Amount and Authorization

RiverSource Annuities linked to a brokerage account (prefix 9925)

RiverSource Annuities must be linked to an Ameriprise Brokerage account in the exact same ownership.

New Ameriprise Brokerage linking account number:

133



For Brokerage, SPS Advantage and Active Portfolios® accounts:

- If no amount is specified, we will transfer 100%.
- If you are requesting a specific cash amount, there must be sufficient cash in the sweep account to cover the amount requested.
- We be unable to process a request for the transfer of specific tax lots if "average cost" is the cost basis method for the account.



Amount of cash and/or securities to be transferred:

- Transfer all Cash and Securities Transfer all Cash Only Enter percentage
- Transfer all Securities Only Enter amount Transfer Percentage of Entire Account: %
- Transfer Specific Cash Amount \$

There must be sufficient cash in the sweep account to cover the amount requested.

- Transfer Specific Securities Only

Full account ownership transfers will inactivate arrangements and features on the original account including, but not limited to: check writing, systematic payouts, bank authorizations, dividend methods, etc.

Complete the table to provide instructions for the transfer of individual securities held in your account. If there is insufficient room to list all securities below, you may attach a list signed and dated by the current owner and enter **see attached list** in this part.

| Ticker Symbol/ CUSIP | Security Name | Security Type (Stock/Bond/MF) | Purchase Date MM/DD/YYYY | Price | Quantity | Total Cost |
|-------------------------|---------------|----------------------------------|-----------------------------|-------|----------|------------|
| | | | | | | |
| | | | | | | |
| | | | | | | |

For Certificates only

- Ownership change may result in a new account number that will be created by the Corporate Office if needed.
- When splitting the account, each person must submit a separate form.
- Forms for all new owners should be submitted at the same time.
- Due to product limitations, we cannot initiate transfers until forms are received from all new owners.
- Transfer amounts across all forms must total 100%.

Transfer Percentage of Entire Account

%

Transfer Instructions for Brokerage, Ameriprise ONE financial accounts and Ameriprise Managed Accounts

- i • Any change in the account ownership will require a new account number to be established. If an account does not currently exist in the desired ownership, your Ameriprise Financial Advisor must create an account for the requested ownership and provide the account number(s) below to avoid any processing delays. If the source account is an Ameriprise Brokerage account and you do not have an Ameriprise Advisor, complete section Transfer assets into restricted Ameriprise Managed or Brokerage Account(s).
- If transferring 100% of the account, all open orders must be canceled or closed.

Transfer Instructions:

- Transfer to the Brokerage, Ameriprise ONE Financial Account(s), and/or Ameriprise Managed Account(s) held in the requested ownership identified below.
- Transfer assets into restricted Ameriprise Managed or Brokerage Account(s).
- Change the Custodian of an UGMA/UTMA/CESA account, update a Partnership, or change the type of joint ownership.

Account Number 1

133

Account Number 2

133

Destination Account Owner/Authorized Signer First Name

MI

Last Name



Client ID

001

We will establish the restricted Ameriprise Managed or Brokerage Account(s) to receive the transferred assets. Restricted Ameriprise Managed accounts do not permit trading and are for liquidation purposes only. Ameriprise Brokerage accounts established from this form are reserved for clients without an Ameriprise Advisor and will be restricted for incomplete client or account suitability.

The new owner will be completely terminating the existing Ameriprise Managed Account agreement(s) after re-registration and agrees to the following terms:

- No account management fee will be charged
- No Managed Account services will be provided
- Account activity will be limited to directing full liquidations and in-kind transfers only. Partial liquidations are not permitted when terminating an existing Managed Account.
- The new owner is responsible for full liquidation or in-kind transfer of the account within 90 days of completion of the Change of Ownership/Annuitant form and may call 800.862.7919 for further instructions. If the account is not liquidated within 90 days after completing the Change of Ownership, we will transfer the account assets into an Ameriprise Brokerage account in the same ownership.
- All applicable brokerage fees as described in the Ameriprise Brokerage Client Agreement and Other Important Brokerage Disclosures document will apply to the account.
- Signing this form establishes consent for the money settlement option as outlined below.

For all non-qualified accounts regardless of product type, and for all types of IRA, Coverdell ESA, Custodial, Trusteed, Defined Benefit and 401(k) qualified plans, (excluding 401(a) accounts in retail brokerage) and SPS Advantage accounts, your money settlement option will be the Ameriprise Insured Money Market Account (AIMMA), a FDIC-insured multi-bank deposit product. For 401(a) accounts in retail brokerage, your money settlement option will be the Ameriprise Insured Money Market Account (AIMMA) and for 401(a) accounts in SPS Advantage, your money settlement option will be Ameriprise Bank Insured Sweep Account (ABISA). For all TSCA/403(b) accounts in retail brokerage and for SPS Advantage accounts, your money settlement option will be Dreyfus General Government Securities MMF – Dreyfus Class. For all Discretionary Managed accounts in a qualified ownership, your money settlement option will be Ameriprise Bank Insured Sweep Account (ABISA).

Any change to the taxpayer or current owners on the account requires a new account number to be established.

New Account Registration

State of Residence

Does the annuity contract have an Enhanced Legacy benefit (ELB) or SecureSource Legacy benefit?

- Yes
- No

- i** • To designate an Attorney-In-Fact, a completed Ameriprise Power of Attorney form (402540) is required. If the new account registration is for an IRA, the choice below must be **Individual**, or if the IRA owner is a minor/protected person, **UGMA/UTMA**.



- If you own a variable annuity with the Guarantor Withdrawal Benefit for Life (GWB for Life) or *SecureSource*[®] rider single life benefit, transfer of ownership may result in a reset of the Annual Lifetime Payment (ALP). If the ALP will decrease, the Benefit Impact Acknowledgement form will be required before processing will occur. If required, this form will be mailed to you or you may contact our office for assistance. For all other withdrawal benefits with the single life benefit, if the covered person changes as a result of the ownership change, the rider terminates.
- If you own a variable annuity with the *SecureSource*, *SecureSource*[®] Flex, *SecureSource Stages*[®], or *SecureSource Stages 2*[®] joint life benefit, transfer of ownership to anyone other than the covered spouses or their revocable trust is not allowed.
- If you own an annuity with the *SecureSource 3*[®], *SecureSource 4*[®], *SecureSource 4 Plus*[®], *IncomeSure*SM, *SecureSource Core*SM, *SecureSource Core Plus*SM joint life benefit, transfer of ownership to anyone other than the covered spouses or their revocable trust will terminate the rider. Does not apply to contracts issued in California.
- For contracts issued in California, if you own an annuity with the *SecureSource 3*, *SecureSource 4*, *SecureSource 4 Plus*, *IncomeSure*, *SecureSource Core*SM, or *SecureSource Core Plus*SM single life benefit, the covered person (for joint, covered spouses) will not change and the rider will not terminate as a result of an ownership change. For single life benefit, the rider will terminate at the death of the covered person or any owner (even if the covered person is still living). For joint life benefit, the rider will terminate at the death of the last covered spouse or any owner (unless spousal continuation is chosen by a covered spouse). For all other withdrawal benefit riders, California contracts follow the rules stated above.
- For contracts issued in Florida with the *SecureSource 3* joint life benefit, transfer of ownership to anyone other than the covered spouses or their revocable trust is not allowed. For all other withdrawal benefit riders, Florida contracts follow the rules stated above.
- If you own a variable Annuity with a death benefit rider, transfer of ownership may terminate the rider or reset the death benefit guaranteed amount.
- Joint owners and/or joint annuitants are not allowed on a variable annuity with the *Enhanced Legacy* benefit (except when issued in California).
- Joint owners and joint annuitants are not allowed for annuity contracts with any of the following single life benefits: *SecureSource Flex*, *SecureSource Stages*, *SecureSource Stages 2*, *SecureSource 3*, *SecureSource 4*, *SecureSource 4 Plus*, *IncomeSure*, *SecureSource Core*, or *SecureSource Core Plus*. Exception: Contracts issued in California with the *SecureSource 3*, *SecureSource 4*, *SecureSource 4 Plus*, *IncomeSure*, *SecureSource Core*, or *SecureSource Core Plus* single life benefit do not have any limits on ownership changes.

Acknowledgment for annuity contracts issued in California with the *Enhanced Legacy* benefit (ELB) or *SecureSource Legacy* benefit

An ownership change will result in an owner and annuitant that are no longer the same person. The benefits provided under the *Enhanced Legacy* or *SecureSource Legacy* benefit are only payable at the annuitant's death. You must acknowledge by initialing below that you understand:

- If the owner dies before the annuitant, the Standard Death Benefit value will be paid to the beneficiary(ies).
- If the annuitant dies before the owner, the *Enhanced Legacy* or *SecureSource Legacy* benefit value will be paid to the beneficiary(ies).
- The annuitant cannot be changed.

Initials of current owner _____

Initials of new owner _____

Choose Registration

- Individual**
- UTMA/UGMA/CESA**
- Joint Tenants with Rights of Survivorship (WROS)** - For annuities, rights of survivorship are only available if the joint owners are husband and wife. In all other cases of annuity joint ownership, owners are tenants in common. For Louisiana state residents: Joint Tenants with Rights of Survivorship (WROS) registration is not available.
- Community Property** - Community Property ownership registration for annuity contracts is always established with rights of survivorship. For all other types of accounts Community Property ownership registration is established without rights of survivorship unless otherwise indicated.
- Community Property WROS**
- Marital Property**
- Marital Property WROS**
- Tenants by Entirety** - For Louisiana state residents: Tenants by Entirety registration is not available.
- Tenants in Common**
- Trust**
- Entity**
- Change Annuitant**



New Registration Information (for all types of accounts)

i We are required by law to obtain certain personal information from you which will be used by us to verify your identity. If you do not provide us the 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 or take other such steps as we deem reasonable.

Is the client a bank, savings and loan association, insurance company, registered investment company, investment advisory firm, or broker-dealer?

Yes No

Do the total assets owned by the client(s) exceed \$50MM?

Yes No

Note: if no elections are made to the above question, we will apply "no" as the default answer.

Individual Owner

New Owner First Name MI Last Name

Client ID 001 SSN/TIN

Relationship to Current Owner(s) Date of Birth (MMDDYYYY)

Citizenship (Select One): U.S. Citizen Resident Alien Non-Resident Alien (complete IRS Form W-8BEN)
Gender: Male Female

Country of Citizenship (Required if Resident Alien or Non-Resident Alien):

Second Country of Citizenship:

Marital Status Single Married Divorced Seperated Widowed

Residential Address:

City State ZIP Code

Is this an address change?

Yes

No



Joint Owners

Additional Owner First Name MI Last Name

Client ID 001 SSN/TIN

Relationship to Current Owner(s) Date of Birth (MMDDYYYY)

Citizenship (Select One): U.S. Citizen Resident Alien Non-Resident Alien (complete IRS Form W-8BEN)
Gender: Male Female

Country of Citizenship (Required if Resident Alien or Non-Resident Alien):

Second Country of Citizenship:

Marital Status Single Married Divorced Seperated Widowed

Residential Address:

City State ZIP Code

Is this an address change?
 Yes
 No



UTMA/UGMA for Minor or Authorized Person for Minor/Protected Person or Protected Person, CESA Change of Beneficiary or Controller

UTMA UGMA CESA Controller

Authorized Person, UTMA Custodian or CESA Controller Name (CESA controller must be a parent or legal guardian of the CESA beneficiary)

First Name MI Last Name

Client ID 001

Relationship to Minor/Protected Person Authorized Person Date of Birth (MMDDYYYY) State Governing UGMA/UTMA

Minor/Protected Person First Name MI Last Name

Client ID 001 SSN/TIN Minor/Protected Person Date of Birth (DDMMYYYY)

Citizenship of Minor/Protected Person U.S. Citizen Resident Alien Non-Resident Alien (complete IRS Form W-8BEN)

Country of Citizenship (Required if Resident Alien or Non-Resident Alien):

Second Country of Citizenship:

Gender: Male Female

Residential Address
City State ZIP Code

Is this an address change?
 Yes
 No

Trust



- Provide a completed Certificate of Trust using eForms - Authorized Person for new clients or for changes to trustees.
- Provide a completed Corporate Resolution using eForms - Authorized Person for new clients or changes to either Officers or Entity name.
- Provide a completed Entity Relationships Form (113969) for Corporation, Partnership, LLC and LLP ownerships to avoid processing delays.

Trust or Organization Name Trust Date (MMDDYYYY)

TIN Client ID 001

Trustee First Name MI Last Name

Client ID 001



Trustee First Name MI Last Name

Client ID 001

Trust Type Revocable Irrevocable Grantor Trust Irrevocable Non - Grantor Trust

Street Address:

City State ZIP Code

Is this an address change?
 Yes
 No

Entity

Entity Name EIN

Authorized Signer First Name MI Last Name

Client ID 001

Entity Type :

- Corporation - S-Corp
- Corporation - C-Corp
- LLC - S-Corp
- LLC - C-Corp
- LLP
- Partnership
- Non-Profit
- Estate
- Government Entity

Industry Classification:

Is this an Operating Entity Yes No

Is the entity domiciled/incorporated in U.S.? Yes No

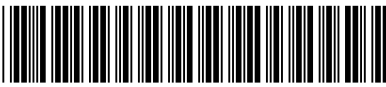
Foreign country that the entity is domiciled/incorporated (Required if the Entity is not domiciled/incorporated in U.S.):

State that the entity is domiciled/incorporated (Required if the Entity is domiciled/incorporated in U.S.):

Business Address:

City State ZIP Code

Is this an address change?
 Yes
 No



Annuitant Change for Non-Qualified Deferred Annuity Contracts

- i** Any annuity that is not an Advantage Fixed Series, Bonus Fixed Series, RAVA Plus, RAVA 4 or *RiverSource* annuity held in a brokerage account (9925) has the following restrictions:
- The current annuitant must be alive.
 - The contract cannot be in payout.
 - The new annuitant must be an owner.
 - No ownership changes must have occurred within the past 12 months, unless due to a documented divorce settlement .
 - No successor annuitant can be named.
 - For annuities issued in California with the *Enhanced Legacy* or *SecureSource Legacy* benefit, the annuitant cannot be changed.
 - An annuitant cannot be changed if the contract is owned by a non-person.

Annuitant First Name MI Last Name Date of Birth (MMDDYYYY)

Client ID 001 Relationship to Current Owner(s)

Designation of Successor Custodian for UTMA, Successor Controller for CESA, Successor Owner, Successor Annuitant

- i** • This designation must be completed by the current Custodian/Controller/Authorized Person named above.

Select One: Successor Custodian Successor Controller Successor Owner Successor Annuitant

If this designation is for a Successor Controller under CESA, the person indicated must be a parent/legal guardian of the CESA beneficiary.

Name of Successor Custodian/Controller/Owner/Annuitant MI Last Name

Relationship to the Minor/Protected Person Date of Birth (MMDDYYYY)

Witness First Name MI Last Name

Account Suitability

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

Note: Based on product and ownership limitations, the assets you are receiving may be transferred into your existing accounts, or combined from multiple accounts into one account within the same ownership and product combination. If the suitability information provided on this form conflicts with the information previously on file for an existing account, the new information will replace the old. If you are receiving assets from multiple accounts in the same product type (including share class and strategy where applicable), and the suitability information you provided on this form is not the same for all accounts of the same product type, we will apply the suitability information given for the last account of that product type listed on the form.

Should this suitability apply to all new accounts?

Yes

No



Account 1

Should this suitability remain the same as the original account?

- Yes
- No

Risk Tolerance

- A. Conservative
- B. Conservative / Moderate
- C. Moderate
- D. Moderate / Aggressive
- E. Aggressive

Investment Time Frame

- A. Less than 1 Year
- B. 1 - 3 Years
- C. 4 - 7 Years
- D. 8 - 10 Years
- E. 11+ years

Investment Objectives (Select one per order of importance)

- | 1st | 2nd | 3rd | |
|-----------------------|-----------------------|-----------------------|-------------------------|
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | A. Capital Preservation |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | B. Income |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | C. Tax Considerations |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | D. Protection |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | E. Education |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | F. Estate Planning |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | G. Speculation |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | H. Growth |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | I. Growth with Income |

Liquidity Needs

- A. Less than 1 Year
- B. 1 - 6 Years
- C. 7+ Years

Investment Time Frame Definition

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

Investment Objective Definitions

| | |
|----------------------|--|
| Capital Preservation | To avoid the loss of value. |
| Income | To receive income from the investment, with little emphasis on increasing the value of the investment. |
| Tax Considerations | To mitigate federal, state and/or local taxes. |
| Protection | To leave a monetary benefit at death to beneficiaries or a charity. |
| Education | To pay for education related expenses. |
| Estate Planning | To transfer assets to loved ones and/or providing a legacy at one's death. |
| Speculation | To take a higher than average risk in hopes of making a higher than average return. |
| Growth | To increase the capital or market value of the investment, with little emphasis on the generation of current income. |
| Growth with Income | To provide both growth and income, often by choosing investments which pay dividends and have earnings growth. |

**Risk Tolerance Definitions**

| | |
|-------------------------|--|
| Conservative | I am willing to accept the lowest return potential in exchange for the lowest potential fluctuation in my account value even if it may not keep pace with inflation. |
| Conservative / Moderate | I am willing to accept a relatively low return potential in exchange for relatively low fluctuation in account value. |
| Moderate | I am willing to accept a moderate return potential in exchange for some fluctuation in account value. |
| Moderate / Aggressive | I am seeking a relatively high return potential and am willing to accept a relatively high fluctuation and potentially substantial loss in my account value. |
| Aggressive | I am seeking the highest return potential and am willing to accept the highest fluctuation and could lose most or all of my account value. |

Liquidity Needs Definition

| | |
|-----------------|---|
| Liquidity Needs | Period of time from the present until you anticipate you may need access to some of the investment dollars. |
|-----------------|---|

New Client Profile

Client or Trustee First Name MI Last Name

Client ID

Phone Number Number of Dependents Federal Tax Bracket
 0% 1% - 12% 13% - 24% 25% - 35% Over 35%

Individual Annual Income Amount \$ Net Worth Amount \$ Liquid Net Worth Amount \$

Employment status

A. Employed B. Self-employed C. Not Employed D. Retired E. Other (Homemaker, Minor, Student, etc.)

Industry Classification (Required if Self-employed)

Specify other classification

Primary Occupation Information (Required if employed or self-employed)

Specify other occupation

**Primary Source of Income
(Select up to three)**

- Employment
 Social Security/Pension
 Disability Income
 Inheritance/Trust Income
 Investment Income
 Lottery/Gambling
 Rents/Royalties
 Business Income



Other

Employer 1 (Required if Employed or Self-employed)

Employer Name

Business Address

City

State

ZIP Code

Country

Does the new client have more than one employer? Yes No

Employer 2

Employer Name

Business Address

City

State

ZIP Code

Country

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

Yes No

Select which company: (Information required if **Yes** is selected)

Employer listed above

A different company

Which Employer? (Information required if **Yes** is selected)

Employer 1

Employer 2

Company Name

Business Address

City

State

ZIP Code

Country



Are you an officer, director, 10% shareholder or policymaker of a publicly traded company? Yes No

Select which company: (Information required if **Yes** is selected)

- Employer listed above
- A different company

Company: (Information required if **Yes is selected**)

Employer 1

Employer 2

Company Name

Business Address

City State ZIP Code

Country Ticker Symbol



Does the client or trustee have investment experience? Yes No

Select all asset type(s) for which the client or trustee has experience. For each asset type, select the Years of Investment Experience and Average Number of Buy or Sell Trades per Year.

- Investment experience should account for years of active participation, rather than the number of years since the first purchase. (Example: If client purchased options actively in 2007 and 2008, but hasn't since that time = 2 years)
- If years of experience has not crossed the minimum of the range, select the lower range, with the exception of anything greater than none falling into 1-2 years. (Examples: 8 months = 1-2 years; 2.5 years = 1-2 years, 5.5 years = 3-5 years)
- Do not include DRIP arrangements for Equities, ETFs or systematic arrangements for Mutual Funds/529s when selecting the average number of buy or sell trades per year.

| Asset Type: | Years of Investment Experience: | Avg. # of Buy and Sell Trades per Year: |
|--|--|--|
| <input type="checkbox"/> Alternative Investments (includes managed futures/fund of hedge funds) | <input type="radio"/> 1-2 <input type="radio"/> 3-5 <input type="radio"/> 6+ | <input type="radio"/> 0-5 <input type="radio"/> 6-15 <input type="radio"/> 16+ |
| <input type="checkbox"/> Annuities/Variable Life | <input type="radio"/> 1-2 <input type="radio"/> 3-5 <input type="radio"/> 6+ | <input type="radio"/> 0-5 <input type="radio"/> 6-15 <input type="radio"/> 16+ |
| <input type="checkbox"/> Certificates/CDs | <input type="radio"/> 1-2 <input type="radio"/> 3-5 <input type="radio"/> 6+ | <input type="radio"/> 0-5 <input type="radio"/> 6-15 <input type="radio"/> 16+ |
| <input type="checkbox"/> Commodities | <input type="radio"/> 1-2 <input type="radio"/> 3-5 <input type="radio"/> 6+ | <input type="radio"/> 0-5 <input type="radio"/> 6-15 <input type="radio"/> 16+ |
| <input type="checkbox"/> Equities (includes ETFs) | <input type="radio"/> 1-2 <input type="radio"/> 3-5 <input type="radio"/> 6+ | <input type="radio"/> 0-5 <input type="radio"/> 6-15 <input type="radio"/> 16+ |
| <input type="checkbox"/> Fixed Income (includes UITs) | <input type="radio"/> 1-2 <input type="radio"/> 3-5 <input type="radio"/> 6+ | <input type="radio"/> 0-5 <input type="radio"/> 6-15 <input type="radio"/> 16+ |
| <input type="checkbox"/> Limited Partnerships | <input type="radio"/> 1-2 <input type="radio"/> 3-5 <input type="radio"/> 6+ | <input type="radio"/> 0-5 <input type="radio"/> 6-15 <input type="radio"/> 16+ |
| <input type="checkbox"/> Mutual Funds/529s | <input type="radio"/> 1-2 <input type="radio"/> 3-5 <input type="radio"/> 6+ | <input type="radio"/> 0-5 <input type="radio"/> 6-15 <input type="radio"/> 16+ |
| <input type="checkbox"/> Non-Traded REITs/BDCs and non-traded closed end funds) | <input type="radio"/> 1-2 <input type="radio"/> 3-5 <input type="radio"/> 6+ | <input type="radio"/> 0-5 <input type="radio"/> 6-15 <input type="radio"/> 16+ |
| <input type="checkbox"/> Options | <input type="radio"/> 1-2 <input type="radio"/> 3-5 <input type="radio"/> 6+ | <input type="radio"/> 0-5 <input type="radio"/> 6-15 <input type="radio"/> 16+ |
| <input type="checkbox"/> Structured Products | <input type="radio"/> 1-2 <input type="radio"/> 3-5 <input type="radio"/> 6+ | <input type="radio"/> 0-5 <input type="radio"/> 6-15 <input type="radio"/> 16+ |

Does the client have any investments held outside Ameriprise? Yes No Declined to disclose

| Asset Type: | Approximate Value | Asset Type: | Approximate Value |
|---|-------------------------|--|-------------------------|
| <input type="checkbox"/> Alternative Investments | \$ <input type="text"/> | <input type="checkbox"/> Limited Partnerships | \$ <input type="text"/> |
| <input type="checkbox"/> Annuities/Variable Life | \$ <input type="text"/> | <input type="checkbox"/> Mutual Funds/529s | \$ <input type="text"/> |
| <input type="checkbox"/> Certificates/CDs | \$ <input type="text"/> | <input type="checkbox"/> Non-Traded REITs/BDCs | \$ <input type="text"/> |
| <input type="checkbox"/> Commodities | \$ <input type="text"/> | <input type="checkbox"/> Options | \$ <input type="text"/> |
| <input type="checkbox"/> Equities (includes ETFs) | \$ <input type="text"/> | <input type="checkbox"/> Other | \$ <input type="text"/> |
| <input type="checkbox"/> Fixed Income (includes UITs) | \$ <input type="text"/> | <input type="checkbox"/> Structured Products | \$ <input type="text"/> |



Authorization and Acknowledgments

- You acknowledge and agree that: a) the information you provided to us on this form is correct, b) you authorize all activity indicated within this form, c) you agree that we may deliver the documents related to the account(s) you intend to open to you in person, by mail, by email, or electronically through the secure site on ameriprise.com. You agree that we may also refer you to the applicable documents via the Ameriprise website, ameriprise.com/disclosures, and that by signing below you consent to an electronic delivery process directing you to one or more disclosure webpages on the Ameriprise website, and you acknowledge that you have access to a computer that can access the applicable documents via email, or on the Ameriprise website when notice of their availability is provided to you. You understand that you may obtain paper copies of any of these documents at any time by calling Ameriprise Financial at 800.862.7919, and d) you agree to all the terms and conditions stated in this form and in the related documents provided to you.
- You confirm that you are at least 18 years of age and full legal age in your state of residence.
- **Householding for Statements:** You understand Ameriprise Financial may use and combine information concerning accounts owned by members of a primary household group to provide members of the group with paper and/or electronic statements of account(s) and certain account information. This includes investment, insurance, annuity and brokerage accounts. A primary household consists of an individual, his or her spouse or domestic partner, and any accounts owned for, by, or with their unmarried children under age 21 who reside at the same address. You understand that if you want to receive a statement covering only accounts that you own and to not participate in household mailing, you will need to call your Ameriprise financial advisor, or the toll-free number on your statement.
- **Householding for Shareholder Documents:** You understand that Ameriprise Financial Services, Inc. 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. 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 shareholder documents you can call 866.273.7429 and reference the client number found on your statement. Multiple mailings will resume within 30 days of the request.
- You acknowledge that you will be bound by the terms of the insurance policy/annuity contract/account, as are your heirs, executors, administrators and successors.
- Brokerage, investment and financial advisory services made available through Ameriprise Financial Services, Inc. Member FINRA and SIPC.
- Ameriprise Financial is not responsible for the sufficiency or validity of this transfer of ownership.
- If this policy/contract/account has been assigned as collateral, this transfer of ownership is made subject to that assignment.

- You authorize American Enterprise Investment Services, Inc. to lend to itself or to others, either separately or in common, any holding in your account that Ameriprise Financial Services may be carrying for you on margin. You understand that you may borrow against your account at the rates and terms explained in the client agreements (non-qualified accounts only).
- You understand that the clearing agent, American Enterprise Investment Services, Inc., will release your name, address and security position to requesting companies for which American Enterprise Investment Services, Inc. holds securities for your account, unless you specify otherwise to Ameriprise Financial Services.
- You acknowledge that you have received the *Ameriprise* Brokerage Client Agreement and Other Important Brokerage Disclosures and agree to abide by their terms as currently in effect or as the terms may be amended from time to time. **This account is governed by a predispute arbitration clause, which is found in Section 28, page 3 of the Client Agreement. I acknowledge receipt of the predispute arbitration.**
- **Ameriprise Insured Money Market Account ("AIMMA"):** AIMMA is an FDIC insured, interest-bearing bank deposit product made available by Ameriprise Financial and held in an omnibus Account(s) at one or more FDIC member banks (collectively, the "Program Banks"), and including our affiliate, Ameriprise Bank, FSB. The Program Banks may serve individually as custodians for all or a portion of the assets held within your AIMMA, as described in the Other Important Brokerage Disclosures. For a copy of the Other Important Brokerage Disclosures, visit our website at ameriprise.com/disclosures or call our service line at 800.862.7919. Deposit products are FDIC insured up to \$250,000 per depositor at each Program Bank, and up to \$2.5 million per depositor across all Program Banks combined. Deposit products are not covered by SIPC. See the Money Settlement Options section of the Ameriprise Brokerage Client Agreement for further information.
- By selecting AIMMA as your sweep option, you agree to accept the proprietary algorithm applied by Promontory Interfinancial Network, LLC (PIN), which determines the Banks into which your deposits are placed. The Banks are identified on the Bank List published at Ameriprise.com/cashrates. You also understand and agree that PIN will periodically change the order of the Banks to optimize the amount of FDIC insurance available in the AIMMA program. Under ordinary business conditions, changes to the Bank List will be published at least five business days prior to the effective date, and current interest rates for each interest rate tier will be published three to five business days prior to their effective date. Interest rate information is also available at Ameriprise.com/cashrates.
- **Ameriprise Bank Insured Sweep Account ("ABISA"):** ABISA is an FDIC insured, interest-bearing bank deposit product made available by Ameriprise Financial only for discretionary investment advisory accounts in a tax-qualified ownership. Deposits are held in an omnibus Account (s) at Ameriprise Bank, FSB, Member FDIC, an affiliate of Ameriprise Financial. Ameriprise Bank serves as custodian for the assets held within your ABISA, as described in the Other Important Brokerage Disclosures. For a copy of the Other Important Brokerage Disclosures, visit our website at ameriprise.com/disclosures or call our service line at 800.862.7919. Deposit products are FDIC insured up to \$250,000 per depositor, per FDIC rules. Deposit products are not covered by SIPC. See the Money Settlement Options section of the Ameriprise Brokerage Client Agreement for further information.



The following statements apply to IRAs (excluding annuities):

- You appoint Ameriprise Trust Company as custodian of your IRA and understand that the Individual Retirement Custodial Account Agreement in **Your Guide to IRAs** and your IRA application, if applicable, comprise your custodial agreement with Ameriprise Trust Company.
- You assume all responsibility for any tax consequences and penalties that may result from making contributions to, transactions with, or distributions from your IRA.
- You acknowledge that any IRA beneficiary designation you submit will apply to all investment accounts and products held in this IRA plan.
- You authorize Ameriprise Trust Company to invest, directly or indirectly, in deposits of itself or its affiliates that bear a reasonable rate of interest to facilitate cash sweep services.

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

The following statements apply to non-qualified annuity accounts owned by a non-natural or corporate owner:

- We, the undersigned as the non-natural/corporate owner listed above, understand that this contract is not treated as an annuity for tax purposes (unless it is held by a trust or other entity as an agent for a natural person within the meaning of Internal Revenue Code section 72 (u)(1)). As a result, tax deferral is generally not available and therefore, earnings on the contract may be treated as ordinary income received or accrued by the owner during the tax year. The owner/taxpayer is responsible for reporting this income to the Internal Revenue Service.
- In accordance with Internal Revenue Code section 72(s) and contract language, upon the death of the annuitant, the beneficiary will receive the death benefit and the annuity will be terminated based on the terms of the contract. The designated annuitant cannot be changed once the annuity has been issued.
- We understand our obligations with respect to the above mentioned annuity and will abide by them throughout the duration of the annuity.

New Account Taxpayer Certification

TIN (SSN, EIN or other) for New Account

New Account Taxpayer Name (on IRS records)

W-9 TIN Certification

Check appropriate box for federal tax classification (required):

- | | |
|--|---|
| <input type="radio"/> Individual/Sole proprietor/Single Member LLC | <input type="radio"/> Partnership |
| Corporation | <input type="radio"/> Trust |
| <input type="radio"/> S-Corporation | <input type="radio"/> Revocable (Optional Additional Trust Details) |
| <input type="radio"/> C-Corporation | <input type="radio"/> Irrevocable (Optional Additional Trust Details) |
| Limited Liability Company (LLC) | <input type="radio"/> Irrevocable Grantor (Optional Additional Trust Details) |
| <input type="radio"/> Partnership | |
| <input type="radio"/> C-Corporation | <input type="radio"/> Estate |
| <input type="radio"/> S-Corporation | <input type="radio"/> Other <input type="text"/> |

Note: Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is not disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.

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

1-An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2), 2-The United States or any of its agencies or instrumentalities, 3-A state, the District of Columbia, a U.S. commonwealth or possession of the United States, or any of their political subdivisions or instrumentalities, 4-A foreign government or any of its political subdivisions, agencies, or instrumentalities, 5-A corporation, 6-A dealer in securities or commodities required to register in the United States, the District of Columbia, or a U.S. commonwealth possession of the United States, 7-A futures commission merchant registered with the Commodity Futures Trading Commission, 8-A real estate investment trust, 9-An entity registered at all times during the tax year under the Investment Company Act of 1940, 10-A common trust fund operated by a bank under section 584(a), 11-A financial institution, 12-A middleman known in the investment community as a nominee or custodian, 13-A trust exempt from tax under section 664 or described in section 4947

Foreign Account Tax Compliance Act Reporting

A FATCA exemption code is required for persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. If you are only submitting this form for an account you hold in the United States, no code is required. Otherwise, submit IRS Form W-9 separately.



As used below, the word "I" refers to the applicant who is the taxpayer on the account.

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), and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification Instructions:

As used below, the word "You" refers to the applicant who is the taxpayer on the account.

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.

For payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN.

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.

You understand that your IRA is governed by a predispute arbitration clause, found in the custodial agreement in Article VIII, Number 14, of "Your Guide to IRAs", Article VIII, Number 14, of "Your Guide to SIMPLE IRAs", and Article IX, Number 14, of "Your Guide to Roth IRAs". You acknowledge receipt of the predispute arbitration clause.

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

Servicing Advisor Details

FOR SEP AND SIMPLE IRA OWNERSHIPS:

Is this account for you, a covered family member* of yours, or, a covered family member of anyone you will be sharing compensation with?

Yes No

If you are an Ameriprise franchise advisor, is this for a participant in a plan that you are sponsoring (i.e., your employee's SIMPLE or SEP account)? Yes No

FOR IRA OWNERSHIPS OTHER THAN SEP AND SIMPLE IRA:

Is this account for you, a covered family member* of yours, or, a covered family member of anyone you will be sharing compensation with on this account? Yes No

* Covered family members include, your spouse, your lineal ascendants (mother, father, grandmother, grandfather, great-grandmother, great-grandfather) as well as your lineal descendants (son, daughter, grandson, granddaughter, great-grandson and great-granddaughter) and any spouse of a lineal descendant. Brothers, sisters and their spouses or children are NOT included.

Advisor Name

Advisor ID

Is this account assigned to a Compensation Sharing Arrangement (CSA)?

Yes No

Area/Branch Office Number

Phone Number

Ext

CSA ID

Compensation %



Co-Advisor Information

| | | | | |
|---|----------------------|----------------------|----------------------|----------------------|
| Advisor Name | | | Advisor ID | |
| <input type="text"/> | | | <input type="text"/> | |
| Is this account assigned to a Compensation Sharing Arrangement (CSA)? | | | | |
| <input type="radio"/> Yes <input type="radio"/> No | | | | |
| Area/Branch Office Number | Phone | Ext | CSA ID | Comp % |
| <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |

Required Signatures

Current Account Owner(s)

| | | | | |
|------------------------------|----------------------|----------------------|----------------------|--|
| Client or Trustee First Name | MI | Last Name | | |
| <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | |
| Client or Trustee Signature | State | | Date (MMDDYYYY) | |
| <input type="text"/> | <input type="text"/> | | <input type="text"/> | |

| | | | | |
|---|----------------------|----------------------|----------------------|--|
| Additional Client or Trustee First Name | MI | Last Name | | |
| <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | |
| Additional Client or Trustee Signature | State | | Date (MMDDYYYY) | |
| <input type="text"/> | <input type="text"/> | | <input type="text"/> | |

New Account Owner(s)

| | | | | |
|------------------------------|----------------------|----------------------|----------------------|--|
| Client or Trustee First Name | MI | Last Name | | |
| <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | |
| Client or Trustee Signature | State | | Date (MMDDYYYY) | |
| <input type="text"/> | <input type="text"/> | | <input type="text"/> | |

Advisor(s)

| | |
|----------------------|----------------------|
| Advisor Name | Advisor ID |
| <input type="text"/> | <input type="text"/> |
| Advisor Signature | Date (MMDDYYYY) |
| <input type="text"/> | <input type="text"/> |



| | |
|----------------------|----------------------|
| Co-Advisor Name | Advisor ID |
| <input type="text"/> | <input type="text"/> |
| Co-Advisor Signature | Date (MMDDYYYY) |
| X | <input type="text"/> |

For UGMA/UTMA

Any request for an ownership change of an account registered under UTMA/UGMA to an owner other than the former minor originally named on the account will require that the minor, who has now reached age of majority, must sign above and have their signature notarized below.

On this day of , A.D. (year), before me, a Notary Public in and for said County and State, residing therein, duly commissioned and sworn, personally appeared , known to me to be the person whose name is subscribed to the written instrument, and acknowledged to me that he or she executed the same as his or her free act and deed. In Witness Whereof, I have hereunto set my hand and affixed my official seal this day and year in this certificate first above written.

Notary Public in and for said County and State

X