



Penson Financial Services.

Member FINRA, NYSE and SIPC

1700 Pacific Avenue
Suite 1400
Dallas, Texas 75201
214.765.1100
www.penson.com

Account Holder Information

1. List any business owned. If source of wealth is a sale of business, please include business sold, date, and sale amount.

Business Name Sold	Date Sold	Sale Amount

2. Please list any other sources of wealth or if self employed, provide an explanation as to the source of wealth.

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3. Do any account holders have any other existing brokerage relationships?

No Yes

If "Yes" please include the firm name, account number and approximate account value.

Name of Bank/Brokerage	Account Number	Approx. Account Value	Client Name (if not primary)



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Entity Account (if the account is not an entity account, please skip to #7)

4. Enter country of incorporation, address of registration, and the names and addresses of at least two people who are officers and have authority over the account.

Country of Incorporation	Address of Registration

Name of Officer	Address of Officer

Name of Officer	Address of Officer

5. List anyone else (not listed above) with authority to effect transactions with respect to this account (e.g. authorized signatories, trustees, POA) *A trading authorization form maybe required and a photo ID for each individual person listed, please check with your registered representative.*

Name of Authorized Person	Type of Authority

6. Enter entity's business purpose (e.g. real estate sales, retail store, law services) and the geographic location(s) it serves.

Business purpose	Geographical Locations(s) is Serves



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Account Activity

7. Will any securities be transferred into the account?

No Yes

If "Yes," please list the name, ticker symbol, quantity, estimated value, and original source of the securities. Is the customer considered an insider for any of the companies for which securities are being deposited?

Name of Security	Ticker Symbol	Quantity	Est. Value	Original Source	Insider Y/N

8. Other than the securities described above, describe the types of securities that are expected to be held or traded in the account.

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9. What is the source and expected amount of the initial deposit?

Initial Deposit Amount	Source of Deposit (Bank name, name on bank account and bank account number)

10. Will there be transfer to and from foreign countries?

No Yes



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If “Yes,” please describe the type of transfer, how often, and the foreign countries involved.

Type of Transfer	How Often	List Foreign Country

Enhanced Due Diligence

11. Is this account a foreign bank organized under foreign law and located outside of the United States as defined by 31 C.F.R. 103.11?

No Yes

12. Is the account maintained for a current or former Politically Exposed Person or Foreign Public Official?

No Yes

If “Yes,” please provide the name of that official and the official’s immediate family members (including former spouse) and the related foreign political organization.

Official and Immediate Family Member(s)	Foreign Political Organization

13. Is the account maintained for a Foreign Financial Institution as defined by 31 C.F.R. 103.175(h)?

No Yes



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If "Yes," please provide the jurisdiction/country that the foreign financial institution is incorporated or chartered.

14. Are you aware of any prior or pending criminal or regulatory proceeding or any negative reputation issues (including money laundering and/or fraud) involving any account holders?

No Yes

If "Yes," describe.

Name (printed) _____

Signature _____

Date _____

thinkorswim account number _____