

Instructions: This form must be submitted when a corporate account is being opened. It designates officers who are specifically authorized to give instructions on behalf of the corporation. If the account being opened is for an incorporated non-profit organization a copy of the organization's most recent IRS Form 990 must be submitted with this form.

Please mail the completed form to LPL Financial, Attn: Trade Direct, P.O. Box 509049 San Diego, CA 92150-9049 or fax to (858) 202-8500.

Account Information

LPL Account Number

Account Registration

Section I: Corporate Information

Name of Corporation

Date of Board of Directors Meeting

Is this account for a Government Entity? ☐ Yes ☐ No What type of corporation is the account? ☐ S Corporation ☐ C Corporation

*Please consult your client, this is important for tax reporting purposes.

Document Type ☐ Articles of Incorporation ☐ Business License ☐ Partnership Agreement ☐ Certificate of Good Standing

Document Number (Tax ID/SSN not acceptable)

Place of Issuance

Document Issuance Date

Document Expiration Date (if applicable)

Section II: Authorized Officers Information

1. President / CEO Information

President / CEO

Social Security Number

Residence Address (no P.O. boxes) ☐ Same as mailing address

Date of Birth

Home Phone

MM / DD / YYYY

Country of Citizenship

Place of Issuance

ID Issuance Date

ID Expiration Date

ID Type

ID Number

☐ Mark here and complete the below information if a FINRA employee or person associated with a broker/dealer or municipal securities dealer has a financial interest in, controls trading in, or has discretionary authority over this account (e.g., accounts for minor children). This includes situations where you are employed by FINRA or associated with a broker/dealer or municipal securities dealer. This also includes situations where your spouse, domestic partner, or other immediate family member is employed by FINRA or associated with a broker/dealer or municipal securities dealer.

LPL will notify FINRA, the broker/dealer, or the municipal securities dealer regarding this account and may transmit duplicate statements, confirmations and other information concerning the account. By completing and signing this new account application, you authorize LPL to provide transactional data as listed above to FINRA, the broker/dealer, or municipal securities dealer as applicable.

Full Name of Person Associated with Firm or FINRA

Relationship to Account Holder of Person Associated with Firm or FINRA

Name of Associated Firm (if FINRA, list FINRA)

Address of Person Associated with Firm or FINRA

Corporate Compliance Mailing Address of firm

☐ Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months.

Name of Corporation(s)

2. Vice President / COO

Vice President / COO

Social Security Number

Residence Address (no P.O. boxes) ☐ Same as mailing address

Date of Birth

Home Phone

MM / DD / YYYY

Country of Citizenship

Place of Issuance

ID Issuance Date

ID Expiration Date

ID Type

ID Number

- ☐ Mark here and complete the below information if a FINRA employee or person associated with a broker/dealer or municipal securities dealer has a financial interest in, controls trading in, or has discretionary authority over this account (e.g., accounts for minor children). This includes situations where you are employed by FINRA or associated with a broker/dealer or municipal securities dealer. This also includes situations where your spouse, domestic partner, or other immediate family member is employed by FINRA or associated with a broker/dealer or municipal securities dealer.

LPL will notify FINRA, the broker/dealer, or the municipal securities dealer regarding this account and may transmit duplicate statements, confirmations and other information concerning the account. By completing and signing this new account application, you authorize LPL to provide transactional data as listed above to FINRA, the broker/dealer, or municipal securities dealer as applicable.

Full Name of Person Associated with Firm or FINRA

Relationship to Account Holder of Person Associated with Firm or FINRA

Name of Associated Firm (if FINRA, list FINRA)

Address of Person Associated with Firm or FINRA

Corporate Compliance Mailing Address of firm

- ☐ Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months.

Name of Corporation(s)

3. Treasurer / CFO Information

Treasurer / CFO

Social Security Number

Residence Address (no P.O. boxes) ☐ Same as mailing address

Date of Birth

Home Phone

MM / DD / YYYY

Country of Citizenship

Place of Issuance

ID Issuance Date

ID Expiration Date

ID Type

ID Number

- ☐ Mark here and complete the below information if a FINRA employee or person associated with a broker/dealer or municipal securities dealer has a financial interest in, controls trading in, or has discretionary authority over this account (e.g., accounts for minor children). This includes situations where you are employed by FINRA or associated with a broker/dealer or municipal securities dealer. This also includes situations where your spouse, domestic partner, or other immediate family member is employed by FINRA or associated with a broker/dealer or municipal securities dealer.

LPL will notify FINRA, the broker/dealer, or the municipal securities dealer regarding this account and may transmit duplicate statements, confirmations and other information concerning the account. By completing and signing this new account application, you authorize LPL to provide transactional data as listed above to FINRA, the broker/dealer, or municipal securities dealer as applicable.

Full Name of Person Associated with Firm or FINRA

Relationship to Account Holder of Person Associated with Firm or FINRA

Name of Associated Firm (if FINRA, list FINRA)

Address of Person Associated with Firm or FINRA

Corporate Compliance Mailing Address of firm

- ☐ Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months.

Name of Corporation(s)

4. Other Officer Information

Other Officer

Social Security Number

Residence Address (no P.O. boxes)

☐ Same as mailing address

Date of Birth

MM / DD / YYYY

Home Phone

- ☐ Mark here and complete the below information if a FINRA employee or person associated with a broker/dealer or municipal securities dealer has a financial interest in, controls trading in, or has discretionary authority over this account (e.g., accounts for minor children). This includes situations where you are employed by FINRA or associated with a broker/dealer or municipal securities dealer. This also includes situations where your spouse, domestic partner, or other immediate family member is employed by FINRA or associated with a broker/dealer or municipal securities dealer.

LPL will notify FINRA, the broker/dealer, or the municipal securities dealer regarding this account and may transmit duplicate statements, confirmations and other information concerning the account. By completing and signing this new account application, you authorize LPL to provide transactional data as listed above to FINRA, the broker/dealer, or municipal securities dealer as applicable.

Full Name of Person Associated with Firm or FINRA

Relationship to Account Holder of Person Associated with Firm or FINRA

Name of Associated Firm (if FINRA, list FINRA)

Address of Person Associated with Firm or FINRA

Corporate Compliance Mailing Address of firm

- ☐ Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months.

Name of Corporation(s)

Certification

I hereby certify that a meeting, duly called, of the Board of Directors of the Corporation named in Section I, held on the date noted in Section I, at which said meeting a quorum was present and acting throughout, the following preamble and resolution was adopted and ever since has been and now is in full force and effect:

"Whereas this Corporation is duly authorized and permitted by its Charter and By-Laws to deal in stocks, bonds, and other securities, therefore be it resolved that this Corporation open an account(s) in its name with LPL Financial LLC and that the authorized officers named in section II or any one of them or their successors in office, may, on behalf of this Corporation, (1) give orders in the said account(s) for the purchase, sale or other disposition of stocks, bonds, and other securities, (2) deliver to and receive from LPL Financial LLC on behalf of this Corporation monies, stocks, bonds and other securities, (3) sign acknowledgements of the correctness of all statements of accounts and (4) make, execute and deliver under the corporate seal any and all written endorsements and documents necessary or proper to effectuate the authority hereby conferred; the within authorization to each of said officers to remain in full force and effect until written notice of its revocation addressed to you and delivered at your office at LPL Financial LLC, 9785 Towne Centre Drive, San Diego, CA 92121."

I further certify that the following are the signatures of the officers (or others) authorized by the foregoing resolution to act for this Corporation:

President/CEO Signature

Date

Vice-President/COO Signature

Date

Treasurer/CFO Signature

Date

Other Officer's Signature

Date

In witness whereof, I have hereunto set my hand and affixed the seal of said organization this day:
Corporate Seal (If there is no Corporate Seal, write "None.")

MM / DD / YYYY

Secretary or Appointing Officer's Name (print)
(write "none" if there is no other officer)

Secretary or Appointing Officer's Signature

(Authorized officer(s) and secretary or officer appointing authorized officer(s) may not be the same unless the President is the only individual named in Section 3 and is the corporation's only officer). If the President is the only individual named in Section II and is the corporation's only officer, the President hereby certifies that the President is the sole owner of the business identified in Section I and there is no one else having any right, title or interest therein. As the sole owner of the company, the President hereby authorizes you to accept checks for credit to the President's personal account that are drawn on this company. As the sole owner of the company, the President is the only person authorized to sell, assign or endorse for transfer certificates representing stocks, bonds or other securities registered in the name of or on behalf of said company.