

RR # _____ Account # _____ Registration _____

Fund Family/Insurance Co. _____

Type of Account Registration:

- | | | |
|---|---|--|
| <input type="checkbox"/> Individual | <input type="checkbox"/> 529 College Plan | <input type="checkbox"/> Custodian for Minor |
| <input type="checkbox"/> Joint with Right of Survivorship | <input type="checkbox"/> Trust | <input type="checkbox"/> UTMA |
| <input type="checkbox"/> Joint Tenants in Common | <input type="checkbox"/> Estate | <input type="checkbox"/> UGMA |
| _____ % _____ % | | <input type="checkbox"/> Investment Club |
| | | <input type="checkbox"/> Investment Advisory |
| | | <input type="checkbox"/> POA _____ |
| | | <input type="checkbox"/> Other (explain) _____ |
- Select the type of entity and applicable tax classification.
Note: If you are an entity taxed as a Partnership, you must select the Partnership account type.
- | | |
|--|--|
| <input type="checkbox"/> Corporation | <input type="checkbox"/> Limited Liability Corporation |
| <input type="checkbox"/> C Corporation | <input type="checkbox"/> C Corporation |
| <input type="checkbox"/> S Corporation | <input type="checkbox"/> S Corporation |
| <input type="checkbox"/> Partnership | |

Retirement Accounts:

- Profit Sharing
- Money Purchase
- 401(k) / 403(b)
- SEP
- Simple IRA
- IRA
- Rollover IRA
- Roth IRA
- Spousal IRA
- Other (explain)

Primary Account Holder/Trustee/Custodian/Authorized Individual Name _____

- Single Married Other

Social Security or Tax ID Number _____

Date of Birth _____

U.S. Citizen Yes No If no, what country? _____

Legal Address _____

City _____ State _____ Zip _____

Mailing Address _____

City _____ State _____ Zip _____

Home Phone _____

Work Phone _____

Email _____

Fax _____

Employer _____

Employer Address _____

Occupation (Nature of Bus.) or Retired

Is customer (or an immediate relative of customer) associated with a stock exchange or FINRA member firm or bank, insurance co. or other financial institution? Yes No

Is customer (or an immediate relative of customer) an employee or agent of SMITH HAYES Financial Services Corporation? Yes No

Is customer a director, a 5% shareholder or a policy-making executive officer of a publicly traded company? Yes No

If yes to any of the above questions, explain below:

Bank Reference _____

Notes _____

Primary Account Holder/Trustee/Custodian/Authorized Individual Name _____

- Single Married Other

Social Security or Tax ID Number _____

Date of Birth _____

U.S. Citizen Yes No If no, what country? _____

Legal Address _____

City _____ State _____ Zip _____

Mailing Address _____

City _____ State _____ Zip _____

Home Phone _____

Work Phone _____

Email _____

Fax _____

Employer _____

Employer Address _____

Occupation (Nature of Bus.) or Retired

Is customer (or an immediate relative of customer) associated with a stock exchange or FINRA member firm or bank, insurance co. or other financial institution? Yes No

Is customer (or an immediate relative of customer) an employee or agent of SMITH HAYES Financial Services Corporation? Yes No

Is customer a director, a 5% shareholder or a policy-making executive officer of a publicly traded company? Yes No

If yes to any of the above questions, explain below:

Bank Reference _____

Notes _____

Suitability

Financial Position

Annual Income
From all sources

- Under \$25,000
 - \$25,000 - \$50,000
 - \$50,001 - \$100,000
 - Over \$100,000
- \$ _____

Estimated Net Worth
Excluding primary residence

- Under \$50,000
 - \$50,000 - \$100,000
 - \$100,001 - \$500,000
 - Over \$500,000
- \$ _____

Investable/ Liquid Assets
Including cash and securities

- Under \$50,000
 - \$50,000 - \$100,000
 - \$100,001 - \$500,000
 - Over \$500,000
- \$ _____

Federal Tax Bracket

- 0% - 15%
- 25% - 27 1/2%
- Over 27 1/2%

Account Funding Source

- Asset appreciation
- Business revenue
- Inheritance
- Legal/insurance settlement
- Sale of assets
- Savings from earnings

Annual Expenses
Recurring

- Under \$50,000
 - \$50,000 - \$100,000
 - \$100,001 - \$250,000
 - \$250,001 - \$500,000
 - Over \$500,000
- \$ _____

Special Expenses
Future and non-recurring

- Under \$50,000
 - \$50,000 - \$100,000
 - \$100,001 - \$250,000
 - Over \$250,000
- \$ _____

Timeframe
Required for Special Expenses

- Within 2 years
- 3 - 5 years
- 6 - 10 years

Other _____

Investment Profile

Investment Purpose

- Save for education
- Save for retirement
- Save for short term goal(s)
- Generate income
- Accumulate wealth
- Preserve wealth
- Market speculation
- Other: _____

Investment Objectives

Rank your investment objectives for this account in order of importance (1 being the highest). Review the attached Customer Agreement for important information on investment objectives.

- _____ Preservation of capital
- _____ Income
- _____ Capital appreciation
- _____ Speculation
- _____ Trading profits
- _____ Other _____

Risk Tolerance

- Aggressive
- Conservative
- Moderate
- Moderately Conservative
- Moderately Aggressive
- Combination: _____

General Investment Knowledge

- Limited
- Good
- Extensive

Investment Time Horizon

- Near Term
- Very Short
- Short
- Intermediate
- Long
- Combination: _____

Product Knowledge

Investment Product Knowledge

Check either None, Limited, Good, or Extensive based on your knowledge of the following, OR provide your number of years of experience:

	None	Limited	Good	Extensive	Number of Years	Transactions per Year		
Stocks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Bonds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Short Term	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Mutual Funds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Options	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Limited Partnership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Variable Contracts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Futures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Annuities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Alternative Investments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Margin	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Foreign Currency	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Foreign Securities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15

Additional Suitability Information

Decision- Making Experience

Check all that apply:

- I consult with my broker Yes No
- I make my own decisions Yes No
- I consult with my family/friends Yes No

Additional Information

Assets Held Away- Provide total value of assets held away and percentages for each type of asset. Total of all percentages must equal 100%

Total value of assets held away: \$ _____

Stocks _____ %	Mutual Funds _____ %	Variable Contracts _____ %	Alternative Investments _____ %	Other _____ %
Bonds _____ %	Options _____ %	Security Futures _____ %	Foreign Currency _____ %	Total _____ %
Short-Term _____ %	Limited Partnership _____ %	Annuities _____ %	Foreign Security _____ %	

Resolving Disputes - Arbitration

This agreement contains a pre-dispute arbitration clause. Under this clause, which becomes binding on all parties when you sign your account application, you, we agree as follows:

- A. All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.
- B. Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.
- C. The ability of the parties to obtain documents, witness statements, and other discovery is generally more limited in arbitration than in court proceedings.
- D. The arbitrators do not have to explain the reason(s) for their award unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the panel at least 20 days prior to the first scheduled hearing date.
- E. The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
- F. The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.
- G. The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

All controversies that may arise between me and you concerning any subject matter, issue or circumstance whatsoever (including, but not limited to, controversies concerning any account, order or transaction, or the continuation, performance, interpretation or breach of this or any other agreement between me and you whether entered into or arising before, on or after the date this account is opened) shall be determined by arbitration in accordance with the rules then prevailing of the Financial Industry Regulatory Authority (FINRA) or any United States self-regulatory organization of United States securities exchange of which the person, entity or entities against whom the claim is made is a member, as I may designate. If I designate the rules of the United States self-regulatory organization or United States securities exchange and those rules fail to be applied for any reason, then I shall designate the prevailing rules of any other United States securities self-regulatory organization or United States securities exchange of which the person, entity or entities against whom the claim is made is a member. If I do not notify you in writing of my designation within five (5) days after such failure or after I receive from you a written demand for arbitration, then I authorize you to make such designation on my behalf. The designation of the rules of a United States self-regulatory organization or United States securities exchange is not integral to the underlying agreement to arbitrate. I understand that judgment upon any arbitration award may be entered in any court of competent jurisdiction.

No person shall bring a putative or certified class action to arbitration, nor seek to enforce any predispute arbitration agreement against any person who has initiated in court a putative class action; or who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until: (i) the class certification is denied; or (ii) the class is decertified; or (iii) the customer is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to the extent stated herein.

Client Signature	Date	Investment Consultant Signature	Date
Client Signature (if joint account)	Date	Principal Signature	Date

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, SMITH HAYES will ask for your name, address, date of birth and other information that will allow us to identify you. There may be instances when we ask for additional information, such as your driver's license or other identifying documents. Your account may be restricted or closed if SMITH HAYES cannot obtain and verify your information. SMITH HAYES will not be responsible for any losses or damages (including, but not limited to, lost opportunities) that may result if your account is restricted or closed.

BrokerCheck is a free tool to help investors research the professional backgrounds of current and former FINRA-registered brokerage firms and brokers. BrokerCheck should be the first resource investors turn to when choosing whether to do business or continue to do business with a particular broker or brokerage firm. To contact FINRA BrokerCheck Hotline call: toll-free (800) 289-9999 Monday through Friday from 8 a.m. - 8 p.m., Eastern Time. FINRA Web site address: <http://www.finra.org>