PACIFIC WEST FINANCIAL GROUP

PACIFIC WEST SECURITIES, INC.
Member FINRA/SIPC

NEW ACCOUNT FORM
REFERENCE GUIDE

To help you complete the accompanying New Account Form, please refer to the information below.

Section 2a & 2b - all fields required, except as noted below	
Field Name	**Instructions**
Mobile Phone	If you do not have a mobile phone, put "none" or "NA".
Email	Optional
Employer Address	Required if you are currently employed or self-employed. Providing only the city and/or state is not sufficient.
USA PATRIOT Act Information	Required, except for: Minor (UGMA/UTMA), 529 Plan Beneficiary, Decedent (estate).

RESET

Whose information goes in Sections 5 & 6?

Account Type	Section 5	Section 6					
	Investment Time Horizon, Investment Objective, Risk Tolerance	Annual Income	Total Net Worth	Liquid Net Worth	Equity in Primary Residence	Tax Rate	Investment Experience
Individual, Joint, IRA	applicant(s)	applicant(s)					
Trust – Irrevocable	trust	trust	trust	trust	NA	trust	trustee(s)
Trust - Revocable	grantor(s)	grantor(s)	grantor(s)	grantor(s)	grantor(s)	grantor(s)	trustee(s)
Qualified Plan	NA	NA	NA	NA	NA	NA	trustee(s)
Qualified Plan – Participant	participant	participant					
Corporation, LLC, etc	business	business	business	business	NA	business	authorized signer(s)
Estate	estate	NA	NA	NA	NA	NA	executor
529 Plan	beneficiary	owner					
UGMA/UTMA	minor	custodian	custodian	custodian	NA	custodian	custodian

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NEW ACCOUNT FORM

Print Form | Reset Form

☐ New Account ☐ Update Only
☐ Existing Customer/New Account Type

Please read this New Account Form carefully, as this and all accompanying or supplemental documentation form the entire agreement between us for this account. Unless otherwise indicated in this form, the words "you," your," "yourself," and "yours" is/are the applicant(s). The words "we," "us," and "our" are Pacific West Securities, Inc., 555 S. Renton Village Place, Suite 700, Renton, Washington 98057, and our branch offices.

1 Account Information

Account Type (choose only one)**:**

☐ Individual ☐ 529 Plan ☐ Joint - Tenants In Common ☐ Trust ☐ Corp/LLC ☐ Other:__________
☐ IRA, Type:________ ☐ UGMA/UTMA ☐ Joint - With Rights Of Survivorship ☐ Estate ☐ Other Qualified Plan:__________

Source of Funds for Initial Investment(s):

☐ Current Income ☐ Employer Contributions ☐ Transfer of Existing Account ☐ Liquidation of Other Investments:__________
☐ Existing Cash Savings ☐ Inheritance ☐ Rollover/Transfer from IRA/Employer Plan ☐ Other:__________

Initial Investment(s) (optional)**:**

2a Primary Applicant

Primary Applicant Type:

☐ Account Holder ☐ Minor (UGMA/UTMA) ☐ 529 Plan Owner
☐ Decedent (estate) ☐ Trustee ☐ Authorized Signer (corps, LLCs, etc.)

Full Name: (Last) (First) (Middle – required)

Residence Address (not a PO Box)**:**
Street:
City/St/Zip:

Residence Phone:
Mobile Phone:

Social Security Number:
Citizenship: ☐ USA ☐ Other:

Date of Birth:
Email:

Employment: ☐ Employed ☐ Self-employed ☐ Retired ☐ Not Employed

Employer Name:
Business Phone:

Employer Address:
Occupation/Title:
Nature of Business/Industry:

USA PATRIOT Act Required Information (attach copy of government-issued ID)

ID Type: ☐ Driver's License ☐ US Passport ☐ Military ID

State or Other Issuer:
ID #:

Issue Date: mm/dd/yyyy:
Expiration (must be unexpired)**:** mm/dd/yyyy:

2b Secondary Applicant

Secondary Applicant Type:

☐ Joint Owner ☐ Custodian (UGMA/UTMA) ☐ 529 Plan Beneficiary
☐ Executor ☐ Co-Trustee ☐ Other:__________

Full Name: (Last) (First) (Middle – required)

Residence Address (not a PO Box)**:** ☐ same as Primary
Street:
City/St/Zip:

Residence Phone: ☐ same as Primary
Mobile Phone: ☐ same as Primary

Social Security Number:
Citizenship: ☐ USA ☐ Other:

Date of Birth:
Email:

Employment: ☐ Employed ☐ Self-employed ☐ Retired ☐ Not Employed

Employer Name:
Business Phone:

Employer Address:
Occupation/Title:
Nature of Business/Industry:

USA PATRIOT Act Required Information (attach copy of government-issued ID)

ID Type: ☐ Driver's License ☐ US Passport ☐ Military ID

State or Other Issuer:
ID #:

Issue Date: mm/dd/yyyy:
Expiration (must be unexpired)**:** mm/dd/yyyy:

3 Mailing Address

Occasionally, we may need to mail you notices or other correspondence. We will use the Primary Applicant's residence address (above) unless you complete this section with an alternate mailing address, such as a PO Box. There is no need to complete this section if you want all mail sent to the Primary Applicant's residence address.

Preferred Mailing Address:

4 Entity Accounts Only (trusts, qualified plans, estates, corporations, LLCs, etc.)

Full Entity Title/Name:

Entity Address (if different than Primary Applicant above)**:** ☐ same as Primary

Entity Tax ID#:

Office Use Only: OFAC: Initials & Date: ☐ Clear (all parties) ☐ Not clear N • U • E CF# PW Account #

5 Risk Tolerance & Investment Objective

Reset Section

Use the definitions below to choose the Investment Time Horizon, Investment Objective, and Risk Tolerance that reflect your goals for the *entire* account. You acknowledge that any particular investment may be inconsistent with your overall Risk Tolerance and Investment Objective.

Investment Time Horizon (choose one only): ☐ Short (under 3 years) ☐ Intermediate (3-10 years) ☐ Long Term (10+ years)

Investment Objective (choose one only): ☐ Capital Preservation ☐ Income ☐ Growth & Income ☐ Growth ☐ Speculation

Risk Tolerance (choose one only): ☐ Conservative ☐ Cautious ☐ Moderate ☐ Above Average ☐ High ☐ Aggressive

INVESTMENT OBJECTIVE

Capital Preservation	Income	Growth & Income	Growth	Speculation
The goal is to preserve the initial principal, even if that means the portfolio does not generate significant income or returns and may not keep pace with inflation.	The goal is to generate income for current or future expenses with low, or no goal for growth of the original principal.	The goal is to increase account value over time while also generating some income for current or future expenses.	The goal is to increase account value over time with little or no goal to generate income.	The goal is to make investments that carry a substantial amount of risk in an attempt to achieve higher than normal total returns. This objective requires a risk tolerance of High or Aggressive.

LESS RISK — RISK — MORE RISK

RISK TOLERANCE

Conservative	Cautious	Moderate	Above Average	High	Aggressive
You are willing to accept minimal risk of loss of your initial principal, including low tolerance for volatility.	You are willing to accept some risk of loss of your initial principal, including some tolerance for volatility.	You are willing to accept moderate risk of loss of your initial principal, including moderate tolerance for volatility.	You are willing to accept above average risk of loss of your initial principal, including elevated tolerance for volatility.	You are willing to accept a high risk of loss of your original principal, including high tolerance for volatility.	You are willing to accept a very high risk of loss to your original principal, including a very high tolerance for volatility.

6 Financial Information & Experience

Reset Section

Annual Income[1] (all sources):

☐ $0 - $24,999 ☐ $100,000 - $149,999 ☐ $700,000 +
☐ $25,000 - $44,999 ☐ $150,000 - $199,999
☐ $45,000 - $69,999 ☐ $200,000 - $399,999
☐ $70,000 - $99,999 ☐ $400,000 - $699,999

Net Worth (excluding your primary residence)

Total[2]: ____________

Liquid[3]: ____________

Equity in Primary Residence:

Tax Rate (highest marginal):

☐ 0 - 15%
☐ 16 - 25%
☐ 26 - 30%
☐ 31 - 35%
☐ over 35%

Investment Experience (# of years):

	Primary	Secondary
☐ **None**		
☐ Stocks	____	____
☐ Bonds	____	____
☐ Options	____	____
☐ Mutual Funds	____	____
☐ Variable Annuities	____	____
☐ DPPs (illiquid investments)	____	____
☐ REITs	____	____
☐ Other: ________	____	____

[1] **Annual income** includes income from sources such as employment, alimony, social security, investment income, etc.

[2] **Net worth (excluding primary residence)** is the value of your assets minus your liabilities. For purposes of this application, assets include stocks, bonds, mutual funds, other securities, bank accounts, and other personal property. Do not include your primary residence among your assets. For liabilities, include any outstanding loans, credit card balances, taxes, etc. Do not include your mortgage.

[3] **Liquid net worth** is your net worth minus assets that cannot be converted quickly and easily into cash, such as real estate, business equity, personal property and automobiles, expected inheritances, assets earmarked for other purposes, and investments or accounts subject to substantial penalties if they were sold or if assets were withdrawn from them.

7 Privacy Notice

Rev. 7/14/2010

FACTS — **WE DO NOT SELL YOUR PERSONAL INFORMATION. WHAT DOES PACIFIC WEST DO WITH YOUR PERSONAL INFORMATION?**

Why?	Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.
What?	The types of personal information we collect and share depend on the product or service you have with us. This information can include: ▪ Social Security number and income ▪ account balances and payment history ▪ credit history and credit scores
How?	All financial companies need to share customers' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers' personal information; the reasons Pacific West chooses to share; and whether you can limit this sharing.

7 Privacy Notice, continued

Reasons we can share your information	Does Pacific West share?	Can you limit this sharing?
For our everyday business purposes – such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	**Yes**	**No**
For our marketing purposes – to offer our products and services to you	**Yes**	**No**
For joint marketing with other financial companies	**No**	**We don't share**
For our affiliates' everyday business purposes – information about your transactions and experience	**Yes**	**No**
For our affiliates' everyday business purposes – information about your creditworthiness	**Yes**	**Yes**
For our affiliates to market to you	**Yes**	**Yes**
For your representative's nonaffiliated business to market to you	**Yes**	**Yes**
For other nonaffiliates to market to you	**No**	**We don't share**
When Pacific West and your representative terminate their relationship – we allow your representative to retain your information and share it with his/her new firm	**Yes**	**Yes**

To limit our sharing	Call (888) 236-7979 **Please note:** By signing this form on page 5, you acknowledge that you are authorizing us to share in each of the areas above where you could choose to limit sharing. You can contact us at any time to limit sharing. When you are *no longer* our customer, we continue to share your information as described in this notice.
Questions?	**Call (888) 236-7979**

Who we are	
Who is providing this notice?	Pacific West – see definition of *Affiliates* below

What we do	
How does Pacific West protect my personal information?	To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings.
How does Pacific West collect my personal information?	We collect your personal information, for example, when you ▪ open an account or enter into an investment advisory contract ▪ tell us about your investment or retirement portfolio ▪ direct us to buy securities or direct us to sell securities
Why can't I limit all sharing?	Federal law gives you the right to limit only ▪ sharing with affiliates' for everyday business purposes – information about your credit worthiness ▪ sharing for affiliates & nonaffiliates to market to you ▪ sharing for your representative if their relationship with Pacific West is terminated We also collect your personal information from others, such as credit bureaus, affiliates, or other companies.
What happens when I limit sharing for an account I hold jointly with someone else?	Your choices will apply to everyone on your account.

Definitions	
Affiliates	Companies related by common ownership or control. They can be financial and nonfinancial companies. ▪ *Our affiliates include Pacific West Securities, Inc., Pacific West Financial Consultants, Inc., Pacific West Insurance Agency, Inc., and Pacific West Investment Services, Inc. and are collectively referred to in this notice as "Pacific West".*
Nonaffiliates	Companies not related by common ownership or control. They can be financial and nonfinancial companies. ▪ *If your representative owns or is employed in a business not affiliated with Pacific West, such as tax preparation or insurance practice, then Pacific West shares with that nonaffiliated business. Pacific West does not share with any other nonaffiliates so they can market to you.*
Joint Marketing	A formal agreement between nonaffiliated financial companies that together market financial products or services to you. ▪ *Pacific West doesn't jointly market.*

Other important information
California residents must complete a separate form as required under the California Financial Information Act.

8 For Clearing Firm Accounts Only

Reset Section

By completing this section, you are authorizing us to establish a fully disclosed brokerage account with the firm you have selected below. Please see your representative for questions on how to properly complete this section. You may instruct us to change the account set-up features at any time by communicating the changes to your representative. If you do not make a selection in the Sales Proceeds and/or Dividends/Interest areas below, we will use "Hold in account: sweep to money market fund[1]" as the default choice.

☐ **National Financial Services, LLC (NFS)** A Fidelity Investments Co. **Account Type** (choose one): ☐ Commission ☐ Fee/Advisory	☐ **Pershing, LLC** An Affiliate of The Bank of New York Mellon **Account Type** (choose one): ☐ Commission ☐ Fee/Advisory
Sales Proceeds (choose one): ☐ Hold in account: sweep to money market fund[1] ☐ Send out of account: directly to your bank account[2,3] ☐ Send out of account: mail a check to your address of record	**Sales Proceeds** (choose one): ☐ Hold in account: sweep to money market fund[1] ☐ Send out of account: directly to your bank account[2,3] ☐ Send out of account: mail a check to your address of record
Dividends/Interest (choose one): ☐ Hold in account: sweep to money market fund[1] ☐ Hold in account: reinvest eligible stock dividends only[5] ☐ Hold in account: reinvest mutual fund dividends and capital gain only[5] ☐ Hold in account: reinvest both eligible stock dividends and mutual fund dividends and capital gains[5] ☐ Send out of account: directly to your bank account[3] ☐ Send out of account: mail a check to your address of record[4] If you choose either of the Send options, tell us the frequency: ☐ Monthly ☐ Twice a month ☐ Quarterly Day of the month: ______	**Dividends/Interest** (choose one): ☐ Hold in account: sweep to money market fund[1] ☐ Hold in account: reinvest eligible stock dividends only[6] ☐ Send out of account: directly to your bank account[3] ☐ Send out of account: mail a check to your address of record[4] If you choose either of the Send options, tell us the frequency: ☐ Monthly ☐ Twice a month ☐ Quarterly Day of the month: ______
Other Instructions (indicate any additional account set-up instructions here):	**Other Instructions** (indicate any additional account set-up instructions here):

[1] The default money market fund for NFS is Fidelity Prime Cash Reserves and for Pershing is Federated Government Reserves. Other money market choices are available. See your representative for details. If you choose a money fund other than the default or if you want to have proceeds and dividends/interest held in your account as cash, please indicate as such in the Other Instructions area above and initial your instructions.

[2] Non-retirement accounts only.

[3] Your representative will provide an additional required form.

[4] If this is a retirement account, your representative will provide an additional required form.

[5] For NFS, the reinvestment selection applies to the entire account and will be used for any new purchases/incoming transfers/deposits unless you specify otherwise at the time on a security-by-security basis.

[6] For Pershing, only equity reinvestment can be selected at the account level and will apply to all new purchases/incoming transfers/deposits unless you specify otherwise at the time on a security-by-security basis. For mutual funds positions, reinvestment will be handled on a fund-by-fund basis as you instruct at the time you authorize an incoming transfer or new purchase.

9 Arbitration Agreement

In consideration of opening one or more accounts with Pacific West Securities, Inc., you hereby agree that any disagreement between Pacific West Securities, Inc. or its agents and you shall be settled by arbitration in accordance with the current rules of the Financial Industry Regulatory Authority (FINRA). The award of the arbitrator(s) shall be final and judgment on the award rendered by the arbitrator(s) may be entered in any court having jurisdiction thereof.

By signing this form, you acknowledge that you are aware and consent to the following conditions of this Arbitration Agreement:

- 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 rule of the arbitration forum in which a claim is filed.
- Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.
- The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.
- The arbitrators do not have to explain the reason(s) for their award.
- The panel of arbitrators will typically include a minority of arbitrators who were, or are, affiliated with the securities industry.
- 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.
- The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

No person shall bring a putative or certified class action to arbitration, nor seek to enforce any pre-dispute 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. Customer acknowledges receipt of a copy of this agreement. If customer requests, Pacific West Securities, Inc. shall provide the customer with the names of, and information on how to contact or obtain the rules of, all arbitration forums in which a claim may be filed under this agreement.

⑩ Taxpayer ID Certification

Reset Section

Primary Applicant (choose one only)	Secondary Applicant (choose one only)	
☐	☐	**US Person:** Under penalty of perjury, you certify that **(1)** you are a U.S. citizen, U.S. resident alien, or other U.S. person, and the Social Security or Taxpayer Identification Number provided in this application is correct (or you are waiting for a number to be issued to you); 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 failure to report all interest or dividends; or (c) the IRS has notified you that you are no longer subject to backup withholding.
☐	☐	**Certification Instructions:** You must check this box if you cannot certify to item (2) above, meaning that 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.
☐	☐	**Non-Resident Alien:** You certify that you are not a U.S. citizen, U.S. resident alien, or other U.S. person for U.S. tax purposes, and you are submitting the applicable W-8 with this form to certify your foreign status and, if applicable, claim tax treaty benefits.

⑪ Industry & Other Affiliations

Reset Section

Primary Applicant	Secondary Applicant	**Are you, your spouse, or any other immediate family members, including parents, in-laws, siblings, and dependents:**
☐ Yes ☐ No	☐ Yes ☐ No	**Employed by or associated with the securities industry?** If yes, please specify entity: ☐ Broker/Dealer or Municipal Securities Dealer ☐ Investment Advisor Name of entity(ies):
☐ Yes ☐ No	☐ Yes ☐ No	**An officer, director, or 10% (or more) shareholder in a publicly-owned company?** Name of company and symbol:

⑫ Acknowledgment and Signatures

In consideration of opening one or more accounts with Pacific West Securities Inc., you hereby acknowledge and affirm the following:

- Pacific West will review this application as well as any accompanying investment instructions and may either deny them or request further information. You hold us harmless for any market movement and/or investment cut-offs that may occur during processing.
- All investments carry risk of loss of principal and/or purchasing power. Neither Pacific West Securities, Inc. nor its representatives can make or fulfill any guarantee of a return on or of your capital.
- You are hereby encouraged to read any prospectus or offering memorandum given to you before making an investment.
- Historical performance data presented for an investment are not indicative of future results.
- While your representative may present investment alternatives, you have the right to decide whether to proceed with those investments.
- If you have questions about your account or wish to make a complaint, you may contact the Pacific West Securities, Inc. Compliance Department at PO Box 860, Renton, Washington 98057 or by calling (888) 236-7979.
- 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. The information you provide in this form may be used to perform a credit check and verify your identity by using internal sources and third party vendors.
- Pacific West Securities, Inc. and its representatives receive commissions as a result of the transactions you choose to make.
- You have read and understand the Investment Objective definitions on page 2 of this form.
- If this is a joint account, each joint tenant irrevocably appoints the other as attorney-in-fact to take all action on his or her behalf and to represent him or her in all aspects in connection with this account and each tenant shall be liable, jointly and individually, for any amounts due pursuant to this account, whether incurred by either or both tenant(s).
- You acknowledge that the securities products purchased through Pacific West Securities, Inc. are not insured by the Federal Deposit Insurance Corporation (FDIC) or the National Credit Union Administration (NCUA).
- For accounts opened on the premises of a financial institution (bank, savings & loan, or credit union) where deposits are taken, you acknowledge that the securities products purchased or sold in a transaction with Pacific West Securities, Inc. are not deposits or other obligations of the financial institution and are not guaranteed by the financial institution.
- Pages two and three contain a Privacy Notice. By signing this form you are opting-in to the sharing of your personal non-public information in each of the areas where you could choose to limit sharing. You can contact us at any time to limit sharing by calling (888) 236-7979.

The undersigned applicant(s) acknowledge(s) that page four of this document contains a predispute arbitration clause, and a copy of this document has been provided.

Primary Applicant's Signature ____ Date (required) ____ Secondary Applicant's Signature ____ Date (required) ____

Office Use Only

☐ I have verified each applicant's identification as documented on first page.

☐ Existing Pacific West client, no ID check required.

Representative's Name (please print) ____ RR # ____ OSJ Signature (if applicable) ____ Date ____

Representative's Signature ____ Date ____ Home Office Principal Signature ____ Date ____