



PACIFIC WEST FINANCIAL GROUP

555 South Renton Village Place, Suite 700
Renton, WA 98055
Phone: (425) 271-3550 Fax: (425) 255-8567
www.pwfinancial.com

NEW ACCOUNT FORM - Confidential

PACIFIC WEST SECURITIES, INC.
Member NASD/SIPC

- NEW Customer Update Only
Existing Customer / New Account Type

Account Registration Information (Last) (First) (Middle - Required)
Anti-Money Laundering ID Check
SSN or Taxpayer's ID# Date of Birth Citizenship
ACCOUNT TYPE
FOR JOINT ACCOUNTS

Joint Accounts: If this is a joint account, unless we notify you otherwise and provide such documentation as you require, the brokerage account(s) shall be held by us jointly with rights of survivorship...

PWS RELIES ON THE INFORMATION PROVIDED IN THIS FORM IN DETERMINING INVESTMENT SUITABILITY

Investment Experience: Income: Net Worth: Investment Time Horizon:
Tax Bracket:

Investment Objective: Risk Tolerance:
Income: Growth & Income: Growth: Aggressive Growth: Speculation: Tax Advantaged:
Conservative: Cautious: Moderate: High: Aggressive:

PLEASE CERTIFY YOUR SOCIAL SECURITY OR TAXPAYER ID NUMBER HERE. (W-9) (REQUIRED FOR ALL NEW ACCOUNTS) Under penalties of perjury, I certify that: (1) the number shown on this form is my correct taxpayer identification number...

Client Signature Date

For office use only OFAC SDN: Clear Not clear - sent to AML officer Date: Initials:



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For CLEARING FIRM ACCOUNTS ONLY, if applicable:
Disposition of Proceeds and Dividends
Account#
Pershing
Wedbush
Proceeds of Sale
Interest and Dividends
Duplicate confirms/statements need to be sent to other parties.

ARBITRATION AGREEMENT

Customer and Pacific West Securities, Inc. agree that if any dispute arises between them or their agents, the dispute shall be settled by arbitration pursuant to the Code of Arbitration Procedure administered by the National Association of Securities Dealers, Inc.

By signing this arbitration agreement, the parties 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...
(B) Arbitration awards are generally final and binding...
(C) The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration...
(D) The arbitrators do not have to explain the reason(s) for their award.
(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.
(G) 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.

ACKNOWLEDGMENT OF UNDERSTANDING In consideration of establishing a securities investment account, I hereby affirm my understanding of the following:

- All investments carry risk of loss of principal and/or purchasing power. Neither PWS nor their Representatives can make or fulfill any guarantee of a return on or of my principal.
I am hereby encouraged to read any prospectus given to me before making an investment.
Historical performance data presented for an investment are not indicative of future results.
I expect my Representative to present investment alternatives, but I reserve the right to decide whether to proceed with any of those investments.
If I have questions about my account or wish to make a complaint, I may contact the Pacific West Securities, Inc. Compliance Department at the phone number or address listed on this form.
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.
PWS and their Representatives receive commissions as a result of the transactions I choose to make.
I have read and understand the Investment Objective definitions from above.

The undersigned customer(s) acknowledges that page two of this document contains a predispute arbitration clause, and a copy of this document has been provided to me.

Required Representative Verification

- I have verified this account-holder's identification as documented on first page.
Existing Pacific West Client, No ID Check Required.

Representative's Name (please print) Rep #
Representative's Signature Date

Pacific West Securities Principal's Signature Date

Client Signature Date Client Signature Date

At Pacific West, we respect your privacy.

It's important for you to know that we do not sell your information to anyone. We recognize our obligation to keep information about you secure and confidential. We restrict access to non-public personal information about you to those representatives and employees who need to know that information to provide products or services to you.

Pacific West collects non-public personal information about you from applications and other forms which they receive from you and from oral and email communications. We may also receive information from consumer reporting agencies or public databases.

All of the information that Pacific West collects through its representatives who are also employed in other non-affiliated businesses such as insurance sales or tax preparation will necessarily be disclosed to them in those other capacities.

If you wish to opt out of such disclosure, call (888) 236-7979. Be aware that by opting out, it will prevent the disclosure of your information between Pacific West and a Pacific West representative's additional business pursuits.

At such time as Pacific West and the representative terminate their relationship with one another, information that has been disclosed by one to the other may be retained by both of them if they have so agreed as a part of a transfer of a portion of the business that was previously handled by the representative.

We may also provide non-public personal information about you to non-affiliated third parties as permitted by law. An example of this would be the sharing of your information with the National Association of Securities Dealers or the Securities and Exchange Commission as they oversee our activities.

This privacy policy statement is being sent on behalf of Pacific West Securities, Inc., Pacific West Financial Consultants, Inc., Pacific West Insurance Agency, Inc, Pacific West Investment Services, Pacific West Financial Group, and their Registered Representatives (collectively called Pacific West).