

# CASH ACCOUNT APPLICATION



**WILSON-DAVIS & COMPANY** • Investments  
 P.O. BOX 11587 • SALT LAKE CITY, UT 84147  
 (801) 532-1313

\_\_\_\_\_  
RR

Please check the box to indicate how you would like to title your account:

Account Number \_\_\_\_\_

- Individual (In your name only)    
  Joint Tenants (JTWROS)    
  Trust    
  Foreign    
  Custodial  
 Sole Proprietorship\*    
  Other (please circle): IRA, Corporate, Investment Club, Partnership, Limited Liability Company

ACCOUNT HOLDER	CO-ACCOUNT HOLDER (If applicable) <span style="float: right;">Relationship</span>
Name	Name
Home Address: (P.O. Box is not sufficient)	Home Address: (P.O. Box is not sufficient)
City <span style="float: right;">State      Zip</span>	City <span style="float: right;">State      Zip</span>
<input type="checkbox"/> Home Phone <input type="checkbox"/> Cellular Phone (    )                                      (    )	<input type="checkbox"/> Home Phone <input type="checkbox"/> Cellular Phone (    )                                      (    )
U.S. Social Security / Tax I.D. Number                      Birth Date _____ /    /	U.S. Social Security / Tax I.D. Number                      Birth Date _____ /    /
Marital Status                      No. of Dependents	Marital Status                      No. of Dependents
Employer (If retired, explain)	Employer (If retired, explain)
Employer Address	Employer Address
City <span style="float: right;">State      Zip</span>	City <span style="float: right;">State      Zip</span>
<input type="checkbox"/> Business Phone <input type="checkbox"/> Fax Number	<input type="checkbox"/> Business Phone <input type="checkbox"/> Fax Number
Position / Title	Position / Title
Where should we send Mail? <input type="checkbox"/> Home <input type="checkbox"/> Work <input type="checkbox"/> P.O. Box #	Where should we send Mail? <input type="checkbox"/> Home <input type="checkbox"/> Work <input type="checkbox"/> P.O. Box #
Is client a U.S. citizen? <input type="checkbox"/> Yes <input type="checkbox"/> No	Is client a U.S. citizen? <input type="checkbox"/> Yes <input type="checkbox"/> No
Name of Bank	Name of Bank
Bank Location:	Bank Location:
Driver's License Number:    State    #	Driver's License Number:    State    #
Are you an employee of a securities firm, bank, trust, or insurance company? <input type="checkbox"/> Yes If yes, name and address of the company <input type="checkbox"/> No	Are you an employee of a securities firm, bank, trust, or insurance company? <input type="checkbox"/> Yes If yes, name and address of the company <input type="checkbox"/> No
Are you an officer, director or controlling person of any public company? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, name of company:	Are you an officer, director or controlling person of any public company? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, name of company:
<input type="checkbox"/> I do not want my name, address and holdings disclosed to requesting company whose shares I own .	Complete the information requested and sign the application agreement on reverse side.

## FINANCIAL QUESTIONNAIRE

ACCOUNT HOLDER	CO-ACCOUNT HOLDER
Approximate Annual Income: _____% <input type="checkbox"/> <\$20,000 <input type="checkbox"/> \$20-50,000 <input type="checkbox"/> \$50-100,000 <input type="checkbox"/> \$100,000+	Approximate Annual Income: _____% <input type="checkbox"/> <\$20,000 <input type="checkbox"/> \$20-50,000 <input type="checkbox"/> \$50-100,000 <input type="checkbox"/> \$100,000+
Approximate Net Worth (excl. of residence): <input type="checkbox"/> <\$15,000 <input type="checkbox"/> \$15-50,000 <input type="checkbox"/> \$50-100,000 <input type="checkbox"/> \$100-500,000 <input type="checkbox"/> \$500,000+	Approximate Net Worth (excl. of residence): <input type="checkbox"/> <\$15,000 <input type="checkbox"/> \$15-50,000 <input type="checkbox"/> \$50-100,000 <input type="checkbox"/> \$100-500,000 <input type="checkbox"/> \$500,000+
<b>INVESTMENT EXPERIENCE</b>	<b>INVESTMENT EXPERIENCE</b>
No. of Years _____ No. of Transactions Per Year _____	No. of Years _____ No. of Transactions Per Year _____

## INVESTMENT OBJECTIVES

- Safety    Income    Growth    Speculative    Bonds    Liquidation    Annuity   **See Definitions on Reverse Side**

Under penalties of perjury, I certify (1) that the Social Security number shown on this form is my correct taxpayer identification number and (2) that I am not subject to backup withholding. If I have been notified by IRS that I am subject to backup withholding as a result of dividend or interest underreporting, I must cross out (2) in this certification.

I am a U.S. person (including a U.S. Resident Alien)

Mail duplicate confirmations and statements to another party.

Name \_\_\_\_\_

Address \_\_\_\_\_

## CASH ACCOUNT AGREEMENT

DATE	SIGNATURE	CO-ACCOUNT SIGNATURE
	X	X

(If this is a joint option account, all account holders must sign.)

Account Executive \_\_\_\_\_

Date \_\_\_\_\_

Officers Approval \_\_\_\_\_

Date \_\_\_\_\_

A.M.L. Officer \_\_\_\_\_

Date \_\_\_\_\_

### Investment Objectives (All accounts, except joint, may rank two objectives. Joint accounts may have only one objective.):

- Safety-Bonds-Annuity:** Preserving the value of your existing assets by investing in securities with a smaller degree of risk of loss of principal. May include investment in government bonds or certificates of deposits.
- Income:** Generating current income by investing in securities with a lower degree of risk of loss of principal. May include investing in investment grade corporate bonds, bond funds or unit investment trusts.
- Growth:** Generating capital appreciation by investing in securities with a higher degree of volatility and risk of loss of principal. May include investing in stocks or mutual funds.
- Speculation:** Trading volatile securities with a higher than average possibility of loss of principal with the hope of achieving commensurate gains. May include investing in low priced securities, options, non-rated bonds or non-investment grade bonds.
- Liquidation:** Complete liquidation of account assets.

## Cash Account Agreement

In consideration of the acceptance of my account by WILSON-DAVIS & CO., I authorize subject to applicable provision of law Wilson-Davis whenever I or my personal representatives do not, on or before the settlement date, pay for any security purchased by Wilson-Davis for my account or deliver any security sold by Wilson-Davis for my account, until such payment or delivery is made in full:

(a) to pledge or hypothecate any securities which Wilson-Davis may hold for me either individually or jointly with others, separately or in common with other securities or any other property, for the sum then due or for such greater sum as may be fair and reasonable and without retaining in its possession and control for delivery a like amount of similar securities, and/or

(b) to sell any securities which Wilson-Davis may so hold for me either individually or jointly with other or to buy any securities required to make delivery pursuant to any order entered for my account or to cancel any outstanding orders in order to close out my account or to close out any commitment made on my behalf. Such sale, purchase, or cancellation may be made at Wilson-Davis' sole discretion, on the exchange or other market where such business is then usually transacted, or at public auction or at private sale without advertising the same and without notice to me or my personal representatives, and without prior tender, demand or call of any kind upon me or my personal representatives, and Wilson-Davis may purchase the whole or any part thereof free from any right of redemption, and I and my personal representatives shall remain liable for any deficiency, together with a reasonable attorneys fee, if this deficiency be placed with attorney for collection if suit be instituted for its collection. It is further understood that a prior tender, demand or call or any kind from Wilson-Davis, or prior notice from Wilson-Davis, of the time and place of such sale, purchase or cancellation shall not be considered a waiver of Wilson-Davis' right to sell or buy any securities held by Wilson-Davis, or owed to Wilson-Davis by me, at any time as herein before provided.

Wilson-Davis is hereby authorized, in its discretion, if it for any reason whatever deems it necessary for its protection, to cancel any outstanding orders in order to close out my account, in whole or in part, or to close out any commitment made on my behalf. Written communications to me shall be deemed to have been delivered to me, if sent by first class mail, postage prepaid, to my last designated address.