

# New Account Agreement

Completed and signed New Account Agreement is required for both the Primary and the Joint or Associated Account Holder

## GENERAL INFORMATION

Account Number: \_\_\_\_\_ - \_\_\_\_\_ Rep No: \_\_\_\_\_ Account Type: \_\_\_\_\_ Tax ID or SSN: \_\_\_\_\_  
Account Registration: \_\_\_\_\_  
Mailing Address: \_\_\_\_\_  
Legal Address: \_\_\_\_\_  
(Must not be a PO Box)  
Business Phone: \_\_\_\_\_ Personal Phone: \_\_\_\_\_  
Other Phone: \_\_\_\_\_ E-mail: \_\_\_\_\_

## INVESTOR PROFILE

Name: \_\_\_\_\_ Gender: \_\_\_\_\_  
Date of Birth: \_\_\_\_\_ Citizenship: \_\_\_\_\_  
Mother's Maiden Name: \_\_\_\_\_ Tax Bracket (%): \_\_\_\_\_  
Annual Income: \$ \_\_\_\_\_ to \$ \_\_\_\_\_  
Total Net Worth: \$ \_\_\_\_\_ to \$ \_\_\_\_\_  
(Exclusive of family residence)  
Liquid Net Worth: \$ \_\_\_\_\_ to \$ \_\_\_\_\_  
Employment Status:  Employed  Self-Employed  
 Not Employed  Retired  Student  
Occupation: \_\_\_\_\_  
Employer: \_\_\_\_\_  
(Prior employer if not currently employed)  
Type of Business: \_\_\_\_\_  
Employer Address: \_\_\_\_\_  
Employer Phone: \_\_\_\_\_ No. Yrs. Employed: \_\_\_\_\_  
Are you employed by or registered with Bolton Global Capital?  Yes  No

## INVESTMENT INFORMATION

**Investment Time Horizon:**  
Upcoming Special Expenses: \_\_\_\_\_  
\_\_\_\_\_\$0-50K \_\_\_\_\$50K-100K \_\_\_\_\$100K-250K \_\_\_\_\$250K-500K \_\_\_\_\$500K+  
Time Horizon (Estimated End Date): \_\_\_\_\_  
Liquidity Needs:  Low  Medium  High  
**Investment Objectives:** (Check all that apply)  
 Conservative Growth  Income  
 Growth  Aggressive Growth  
**Risk Exposure:**  
 Conservative  Moderately Conservative  
 Moderate  Moderately Aggressive  Aggressive

## GENERAL INVESTMENTS EXPERIENCE

Please rate your experience and provide your current holdings for each of the following categories:

Experience Level	None	Limited	Moderate	Extensive	
General Knowledge	_____	_____	_____	_____	
Annuities Fixed	_____	_____	_____	_____	Value Currently Held: \$ _____
Annuities Variable	_____	_____	_____	_____	Value Currently Held: \$ _____
Commodities and Futures	_____	_____	_____	_____	Value Currently Held: \$ _____
Equities	_____	_____	_____	_____	Value Currently Held: \$ _____
Exchange Traded Funds	_____	_____	_____	_____	Value Currently Held: \$ _____
Fixed Income	_____	_____	_____	_____	Value Currently Held: \$ _____
Insurance	_____	_____	_____	_____	Value Currently Held: \$ _____
Mutual Funds	_____	_____	_____	_____	Value Currently Held: \$ _____
Options	_____	_____	_____	_____	Value Currently Held: \$ _____
Other	_____	_____	_____	_____	Value Currently Held: \$ _____
Precious Metals	_____	_____	_____	_____	Value Currently Held: \$ _____
Real Estate	_____	_____	_____	_____	Value Currently Held: \$ _____
Unit Investment Trusts	_____	_____	_____	_____	Value Currently Held: \$ _____

## USA PATRIOT ACT INFORMATION

Source of Funds: \_\_\_\_\_  
Is this account for a private banking account as defined under the USA PATRIOT Act?  Yes  No  
Is this account for a foreign bank under the USA PATRIOT Act?  Yes  No

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 to you: When you open an account, we will ask for your name, address, date of birth and other information that will allow us to identify you. We may also ask for your driver's license or other identifying documents.**

## SECURITIES CLEARED AND ACCOUNTS HELD THROUGH BNY MELLON PERSHING, A BANK OF NEW YORK MELLON COMPANY

Servicing Broker Dealer: Bolton Global Capital, Inc. 579 Main Street, Bolton, MA 01740, (978) 779-5361

MEMBER FINRA, SIPC

# New Account Agreement

## IDENTIFICATION DOCUMENT *(Must be completed by Rep)*

Driver's License  Passport Other: \_\_\_\_\_  
ID Number: \_\_\_\_\_  
Valid thru: \_\_\_\_\_ Country or State: \_\_\_\_\_  
 Inspected Doc  Obtained Copy **Rep Initials:** \_\_\_\_\_

## ACCOUNT INSTRUCTIONS

Proceeds:  Remit  Hold  
Dividend/Interest:  Remit  Hold  
Pay Cycle:  Semimonthly  Monthly  Quarterly  
 Annually Start Date: \_\_\_\_\_

## CASH MANAGEMENT OPTION *(Select one for the uninvested cash in your account)*

Retain In Cash  
 Money Market Sweep Program Fund Selection: \_\_\_\_\_  
*(Default fund will be used if Fund Selection is left blank)*

## AFFILIATIONS

Interested Party: \_\_\_\_\_

Do you or a family member or other relative have an affiliation with any one of the following entities as agent, representative, employee, senior officer, director or major shareholder?  Yes  No *(If "Yes" check all that apply and provide details below:)*

Broker Dealer  Stock Exchange  FINRA  Securities Firm  U.S. Bank  Foreign Bank  
 Investment Advisor  Investment Company  Public Company  Foreign Government  Insurance Company  Private Bank

<i>Name of Affiliated Entity</i>	<i>Name of Affiliated Person</i>	<i>Describe Affiliation</i>
_____	_____	_____
_____	_____	_____

## TRUSTED CONTACT *(Must be at least 18 years of age)*

By choosing to provide information about a trusted contact person, you authorize us to contact the trusted contact person listed below and disclose information about your account to that person in the following circumstances: to address possible financial exploitation, to confirm the specifics of your current contact information, health status, or the identity of any legal guardian, executor, trustee or holder of a power of attorney, or as otherwise permitted by FINRA Rule 2165 (Financial Exploitation of Specified Adults).

Name: \_\_\_\_\_  
Mailing Address: \_\_\_\_\_  
Personal Phone: \_\_\_\_\_ E-mail: \_\_\_\_\_

## U.S. TAXPAYER CERTIFICATION

**W9 Taxpayer Certification:** Under penalties of perjury, I certify that: (1) the number shown on this form is my correct Social Security Number or Taxpayer Identification Number (or I am waiting for a number to be issued to me); (2) I am not subject to backup withholding because (a) I am exempt from backup withholding or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest and dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; (3) I am a U.S. person (including a U.S. resident alien); and (4) The FATCA codes(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

**NOTE:** You must cross out Item (2) above if 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. For accounts exempt from backup withholding, provide your exempt payee code below. For a single-member LLC that is disregarded, enter the information for the U.S. Owner in the General Information section above.

### For Business Entities Only, Please Select One:

Sole Proprietor or Single Member LLC  C Corporation  S Corporation  
 Limited Liability Corporation  Partnership  Trust/Estate

**Exemptions:** *(See Form W-9 for exempt payee and FATCA codes)*  
Exempt payee code (if any): \_\_\_\_\_  
Exemption from FATCA reporting code (if any): \_\_\_\_\_

*By signing below, I acknowledge that this agreement contains a predispute arbitration clause as described in Paragraphs 17 and 18 in this agreement. I further acknowledge I have been furnished with Bolton's Form CRS located at [http://boltonglobal.com/doc/CURRENT\\_BOLTON\\_FORM\\_CRS.pdf](http://boltonglobal.com/doc/CURRENT_BOLTON_FORM_CRS.pdf), our Privacy Policy located at <http://boltonglobal.com/our-story/disclosures>, and also a copy of the New Account Agreement and that I have read, understood, and agree to be bound by its terms and conditions, including the cash management option election above and as described in Paragraph 16 of this agreement, as they are currently in effect and as they may be amended in the future.*

\_\_\_\_\_  
Account Holder's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Account Holder Name *(Please Print)*

*By signing below, the Registered Representative acknowledges that a copy of this Agreement and FINRA's required educational communication on issues to consider when your broker changes firms have been furnished to the client.*

\_\_\_\_\_  
Signature of Registered Representative

\_\_\_\_\_  
Date

\_\_\_\_\_  
Principal Approval Signature

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Servicing Broker Dealer: Bolton Global Capital, Inc. 579 Main Street, Bolton, MA 01740, (978) 779-5361

MEMBER FINRA, SIPC

# New Account Agreement

## CERTIFICATION OF BENEFICIAL OWNER(S) OF LEGAL ENTITY CLIENTS

- 1) Name of Natural Person Opening Account: \_\_\_\_\_
- 2) Name of Legal Entity: \_\_\_\_\_ Legal Entity Type:  Operating  Non-Operating (e.g., PIC)
- 3) Legal Entity Legal Address: \_\_\_\_\_

## CONTROL PERSON

A Control Person is required to be named and is an individual person with significant responsibility for managing or directing the Legal Entity (e.g., CEO, CFO, COO, General Partner, President).

- 1) Name of Control Person: \_\_\_\_\_
- 2) Control Person Title: \_\_\_\_\_
- 3) Legal Address: \_\_\_\_\_
- 4) Government Identification Number (*Non-U.S. persons only*): \_\_\_\_\_  
Identification Type:  Passport  Other Similar ID Number Country of Issuance: \_\_\_\_\_
- 5) Social Security Number (*U.S. persons only*): \_\_\_\_\_

## BENEFICIAL OWNER(S)

Provide information for all individuals who are Beneficial Owner(s), directly or indirectly, of the Legal Entity. **Include a copy of a government-issued identifying document for each Beneficial Owner listed on this form.** Include separate page(s) to add additional individuals.

### First Beneficial Owner

- 1) Name of Beneficial Owner: \_\_\_\_\_
- 2) Date of Birth: \_\_\_\_\_
- 3) Legal Address: \_\_\_\_\_
- 4) Government Identification Number (*Non-U.S. persons only*): \_\_\_\_\_  
Identification Type:  Passport  Other Similar ID Number Country of Issuance: \_\_\_\_\_
- 5) Social Security Number (*U.S. persons only*): \_\_\_\_\_

### Second Beneficial Owner

- 1) Name of Beneficial Owner: \_\_\_\_\_
- 2) Date of Birth: \_\_\_\_\_
- 3) Legal Address: \_\_\_\_\_
- 4) Government Identification Number (*Non-U.S. persons only*): \_\_\_\_\_  
Identification Type:  Passport  Other Similar ID Number Country of Issuance: \_\_\_\_\_
- 5) Social Security Number (*U.S. persons only*): \_\_\_\_\_

### Third Beneficial Owner

- 1) Name of Beneficial Owner: \_\_\_\_\_
- 2) Date of Birth: \_\_\_\_\_
- 3) Legal Address: \_\_\_\_\_
- 4) Government Identification Number (*Non-U.S. persons only*): \_\_\_\_\_  
Identification Type:  Passport  Other Similar ID Number Country of Issuance: \_\_\_\_\_
- 5) Social Security Number (*U.S. persons only*): \_\_\_\_\_

### Fourth Beneficial Owner

- 1) Name of Beneficial Owner: \_\_\_\_\_
- 2) Date of Birth: \_\_\_\_\_
- 3) Legal Address: \_\_\_\_\_
- 4) Government Identification Number (*Non-U.S. persons only*): \_\_\_\_\_  
Identification Type:  Passport  Other Similar ID Number Country of Issuance: \_\_\_\_\_
- 5) Social Security Number (*U.S. persons only*): \_\_\_\_\_

**By signing below, I hereby certify, to the best of my knowledge, that the information provided above is complete, true, and accurate.**

\_\_\_\_\_  
Signature of Natural Person Opening Account

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Natural Person Opening Account (*Please Print*)

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- 1. PROVISIONS IN THE EVENT OF FAILURE TO PAY OR DELIVER:** Whenever the undersigned does not, on or before the settlement date, pay in full for any security purchased for the account of the undersigned, or deliver any security sold for such account, you are authorized (subject to the provisions of any applicable statute, rule, or regulation):
  - (A) Until payment or delivery is made in full, to pledge, repledge, hypothecate, or rehypothecate, without notice, any or all securities which you or your clearing agent may hold for the undersigned (either individually or jointly with others); separately or in common with other securities or commodities or any other property, for the sum then due or for a greater or lesser sum and without retaining in your possession and control delivery a like amount of similar securities.
  - (B) To sell any or all securities which you or your clearing agent may hold for the undersigned (either individually or jointly with others), to buy in any or all securities required to make delivery for the account of the undersigned, or to cancel any or all outstanding orders or commitments for account of the undersigned.
- 2. CANCELLATION PROVISIONS:** You are authorized, in your discretion, should the undersigned die or should you for any reason whatever deem it necessary for your protection, without notice, to cancel any outstanding orders in order to close out the accounts of the undersigned, in whole or in part, or to close out any of the commitments made on behalf of the undersigned.
- 3. GENERAL PROVISIONS:** Any sale, purchase, or cancellation authorized hereby may be made according to your judgment and at your discretion on the exchange or other market where such business is then usually transacted, at public auction, or at private sale without advertising the same and without any notice, prior to tender, demand or call, and you may purchase the whole or any part of such securities free from any right of redemption, and the undersigned shall remain liable for any deficiency. It is further understood that any notice, prior to tender, demand, or call from you shall not be considered a waiver of any provision of this agreement. The "undersigned" shall include any person executing this agreement.
- 4. SUCCESSORS:** This agreement and its provisions shall be continuous, and shall inure to the benefit of your present organization, and any successor organization or assigns, and shall be binding upon the undersigned and/or the estate, executors, administrators, and assigns of the undersigned.
- 5. AGE:** The undersigned, if an individual, represents that he or she is of full age.
- 6. INTEREST IN ACCOUNT:** No one except the undersigned has an interest in any of its accounts with you unless such interest is revealed in the title of such account and in any case, the undersigned has the interest indicated in such title.
- 7. ORDERS AND STATEMENTS:** Reports of the execution of orders and statements of the account of the undersigned shall be conclusive if not objected to in writing, the former within two days and the latter within ten days, after forwarding by you to the undersigned by mail or otherwise.
- 8. EXTRAORDINARY EVENTS:** You shall not be liable for loss or delay caused directly or indirectly by war, natural disasters, government restrictions, exchange, or market rulings, or other conditions beyond your control.
- 9. FEES, CHARGES AND IMPORTANT DISCLOSURES REGARDING YOUR ACCOUNT:** The undersigned agrees to the fees and charges on the fee schedule which can be reviewed by the undersigned at <http://boltonglobal.com/doc/ScheduleOfServiceFees.pdf> or obtained by calling (978) 779-5361. We may change the fee schedule from time to time without prior notice. Additionally, the undersigned acknowledges and understands that important disclosures regarding their account can be and should be reviewed by the undersigned at <http://boltonglobal.com/our-story/disclosures> or obtained by calling (978) 779-5361.
- 10. 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 (payable to either or the survivor of us). 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 respects in connection with this Agreement. You shall be fully protected in acting, but shall not be required to act upon the instructions of either of us. Each of us shall be liable, jointly and individually, for any amounts due to you pursuant to this Agreement whether incurred by either or both of us.
- 11. ADDRESS:** Communications may be sent to the undersigned at the current address of the undersigned which is on file at your office, or at such other address as the undersigned may hereafter give you in writing. All communications so sent, whether by mail, telegraph messenger, or otherwise, shall be deemed given to the undersigned personally, whether actually received or not.
- 12. SPECIAL NOTE TO NON-U.S. ACCOUNTS:** With respect to assets custodied by Pershing on your behalf, you acknowledge that income and capital gains or distributions to you from this account may be taxable in your home jurisdiction. You acknowledge to your financial organization and to Pershing that you have taken your own tax advice in this regards.

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- 13. RECORDING CONVERSATIONS:** The undersigned understands and agrees that for our mutual protection you may electronically record any of our telephone conversations.
- 14. INVESTMENT OBJECTIVES DEFINITIONS:** You should carefully consider your stated investment objectives according to the following definitions:
- Conservative Growth:* An investment approach by which an investor generally seeks to minimize risk in a long-term growth portfolio.
  - Income:* An investment approach by which an investor generally seeks current income over time.
  - Growth:* An investment approach by which an investor generally seeks capital appreciation through buying and holding securities over an extended period of time.
  - Aggressive Growth:* An investment approach by which an investor generally accepts a higher degree of risk to attain a higher rate of return. This investor often seeks shorter term capital appreciation through speculation.
- 15. RISK EXPOSURE DEFINITIONS:** You should carefully consider your stated risk exposure according to the following definitions:
- Conservative:* I want to preserve my initial principal in this account, with minimal risk, even if that means this account does not generate significant income or returns and may not keep pace with inflation.
  - Moderately Conservative:* I am willing to accept low risk to my initial principal, including low volatility, to seek a modest level of portfolio return.
  - Moderate:* I am willing to accept some risk to my initial principal and tolerate some volatility to seek higher returns, and understand I could lose a portion of the money invested.
  - Moderately Aggressive:* I am willing to accept high risk to my initial principal, including high volatility, to seek high returns over time, and understand I could lose a substantial amount of money invested.
  - Aggressive:* I am willing to accept maximum risk to my initial principal to aggressively seek maximum returns, and understand I could lose most, or all, of the money invested.
- 16. MONEY MARKET SWEEP PROGRAM:** In the event a money market sweep program is available, Bolton Global Capital will establish and maintain positions in a money market fund whose shares are automatically bought and redeemed through your brokerage account. You understand that you have the right to withdraw your consent to participate in the money market sweep program or to change your money market fund option. For the current list of money market funds that are utilized in the sweep program, please visit <https://boltonglobal.com/doc/sweep-program-disclosure-statement.pdf>. You can find out what additional money market funds are currently available by contacting your financial advisor. A money market fund is not insured or guaranteed by the Federal Deposit Insurance Corporation or any other government agency, and that although each money market fund seeks to preserve the value of your investment at \$1.00 per share, it is possible to lose money by investing in a money market fund.
- 17. ARBITRATION DISCLOSURES: This agreement contains a predispute arbitration clause. By signing an 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, 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 may 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.

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- 18. AGREEMENT TO ARBITRATE CONTROVERSIES:** IT IS AGREED THAT ANY CONTROVERSY BETWEEN US ARISING OUT OF YOUR BUSINESS OR THIS AGREEMENT SHALL BE SUBMITTED TO ARBITRATION CONDUCTED BEFORE ANY NATIONAL SECURITIES EXCHANGES ON WHICH A TRANSACTION GIVING RISE TO SUCH CLAIM TOOK PLACE (AND ONLY BEFORE SUCH EXCHANGE) OR THE NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC. AND IN ACCORDANCE WITH ITS RULES. ARBITRATION MUST BE COMMENCED BY SERVICE UPON THE OTHER PARTY A WRITTEN DEMAND FOR ARBITRATION OR A WRITTEN NOTICE OF INTENTION TO ARBITRATE. 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 ACTION 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, (II) THE CLASS ACTION IS DECERTIFIED; OR (III) THE CLIENT 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 TO THE EXTENT STATED HEREIN.
- 19. TRUSTED CONTACT:** By providing contact information for a "Trusted Contact" you authorize Bolton Global or one of its associated persons to contact this individual. Bolton Global may disclose information regarding your account to the "Trusted Contact" in an effort to verify important information in the event that you are unreachable, or as Bolton Global sees necessary to prevent fraudulent activity and financial exploitation. The "Trusted Contact" is meant to be a resource benefitting you and Bolton Global in efforts to keep your account protected. Bolton Global may choose, but is not required, to notify the "Trusted Contact" of his or her designation.
- 20. ACCOUNT SUMMARY AND CONSOLIDATED ACCOUNT STATEMENTS:** The undersigned acknowledges that he or she has been made aware of the firm's Account Summary and Consolidated Account Statement disclosure, which can also be found at <http://www.boltonglobal.com>. Additionally, the undersigned acknowledges and agrees that neither Account Summaries nor Consolidated Account Statements are official records of client's holdings or transactions and further agrees to a release of all claims against the firm, its employees and representatives, relative to the validity of data contained in the reports.
- 21. ANTI-MONEY LAUNDERING CERTIFICATION:** The account holder understands that US financial institutions are required to report to FinCEN, without notice to you, any transaction which it knows, suspects, or has reason to suspect involves funds derived from illegal activity or is intended to hide or disguise funds or assets derived from illegal activity including the ownership, nature, source, location, or control of such funds or to violate or evade any Federal law or regulation. You also acknowledge that Bolton Global may refuse to process and may report any transaction which appears to have no business or lawful purpose or is not the sort in which the account holder would normally be expected to engage, and there is not a reasonable explanation for the transaction after examining the available facts, including the background and possible purpose of the transaction. By signing the New Account Agreement, the account holder certifies that all positions including cash instruments transferred to the account at inception and thereafter have been acquired by legal means and derived from legal activities and that the account has not been established for any unlawful purpose.
- 22. CERTIFICATION OF BENEFICIAL OWNER(S) OF LEGAL ENTITY CLIENTS:** For purposes of this form, a **legal entity** includes a corporation, limited liability company, personal investment company ("PIC"), or other entity that is created by a filing of a public document with a Secretary of State or similar office, a general partnership, and any similar business entity formed in the United States or a foreign country. **Legal Entity** does not include sole proprietorships, unincorporated associations, or natural persons opening accounts on their own behalf.

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