Reset Form Print Form

New Account Application for DVP/RVP

Date: _____ *(MM/DD/YY)* New Account Number: _____ - _____

Introducing Firm: _____ Office/Rep Code: _____

TYPE OF CUSTOMER:

◯Corporation ◯Registered Investment Advisor ◯Bank ◯Hedge Fund ◯Pension Fund
◯Broker Dealer ◯Insurance Company ◯State/Local Govt. ◯Other - Specify:_____

INSTITUTIONAL CUSTOMER ACCOUNT INFORMATION:

Company: _____
Attn: _____
Street Address: _____ City: _____ State: _____ Zip:_____

Tax ID / SSN: _____ Account Telephone: _____
Email Address: _____ Account Fax: _____
Country of Incorporation: _____

Authorized Persons, Titles, and Phone Numbers: *(Please provide organizational documents or other authorizations.)*

A. _____
B. _____
C. _____

Hard copy confirms or statements: ◯Yes ◯No
Is this account for a foreign bank? ◯Yes ◯No
If yes, please list U.S. agent for service of process: _____
Is this account for a foreign shell bank? ◯Yes ◯No
Does this firm offer services to a foreign shell bank? ◯Yes ◯No
Comments: _____

SETTLEMENT INSTRUCTIONS:

Please attach instructions or send electronic file (PDF) if available from Prime Broker, Custodian, or Omgeo's ALERT system.

Prime Broker or Custodian: _____
Participant/DTC Number: _____ Customer Internal Acct Number: _____
Institution Number: _____ ALERT Acronym:_____
Tax ID Number: _____ - _____ ALERT Code: _____
Agent Bank Number:_____ Interested Party ID Number: _____

If account is carried with a Prime Broker, Form 1 to Schedule A must be faxed to the COD department at Pershing LLC at (201) 413-1158.

Special Instructions:_____

INTERESTED PARTY: (Duplicate Confirm or Statement) Hardcopy Confirms or Statements? ◯Yes ◯No

Name: _____ Interested Party ID No: _____ Telephone Number: _____
Street Address:_____ City: _____ State: _____ Zip: _____

FOR INTERNAL USE ONLY:

Registered Rep's Name: _____ Signature:_____
Approved By: _____ Date: _____
(Registered Principal)

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