



Schulmerich & Associates Asset Management, LLC

New Account Form

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Suitability and Client Info Form

- NEW Customer Update only
Existing customer / New Account Type

Form with fields for First, Middle, Last; Complete Mailing Address; SS#, Date of Birth, Email; Employer, Employer Address; # of Dependents, Home Phone, Work Phone, Mobile Phone; Account #, Approx. open date of account, Custodian, Discretion Authorized on Trades; Account Type options.

Form with sections for Income (round to nearest \$10,000), Net Worth (Total Assets, Total Liabilities, Net Worth exclusive of home, autos, furnishings), and Investment Experience (Mutual Funds, Stocks, Bonds, Options, Partnerships, Other).

Form with sections for Investment Objective (Income, Growth & Income, Aggressive Growth, Speculation, Tax Advantaged) and Investment Time Horizon (Long term, Intermediate, Short) and Risk Tolerance (Conservative, Cautious, Moderate, High, Aggressive).

Anti-Money Laundering ID Check section with checkboxes for Un-expired Drivers License, Passport, Other Government issued document, and Other business document.

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...

Client Signature Date

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Required Representative Verification section with a signature line and Rep # field.

Chief Compliance Officer signature line and Date field.

OFAC SDN List section with checkboxes for Clear and Not clear, and Date and Initials fields.