



PERSONAL INFORMATION (PRIMARY ACCOUNT HOLDER)

FULL LEGAL NAME first, middle, last DATE OF BIRTH mm/dd/yyyy

COUNTRY OF CITIZENSHIP

DAY PHONE EVENING PHONE

SOCIAL SECURITY NO. TAXPAYER ID NO.

EMAIL

TYPE OF GOVERNMENT-ISSUED ID ID NUMBER

SINGLE/DIVORCED/WIDOWED MARRIED NO. OF DEPENDENTS: _____

STATE/COUNTRY OF ID ISSUANCE ID ISSUANCE DATE ID EXP. DATE

LEGAL ADDRESS No P.O. boxes

MAILING ADDRESS Same as Legal Address

STREET ADDRESS

STREET ADDRESS

CITY, STATE, ZIP

CITY, STATE, ZIP

COUNTRY

COUNTRY

EMPLOYER INFORMATION AND AFFILIATIONS

Employed Retired Not Employed

Check this box if you are affiliated with, or employed by, a stock exchange, or a member firm of an exchange or Financial Industry Regulatory Authority (FINRA), or a municipal securities dealer. If yes, please provide name of entity.

OCCUPATION OR INCOME SOURCE (if retired or unemployed)

AFFILIATED ENTITY NAME

EMPLOYER NAME

ADDRESS

ADDRESS

CITY, STATE, ZIP

CITY, STATE, ZIP, COUNTRY

I am I am not a senior foreign political figure, or a family member or close relative of a senior foreign political figure.

Check this box if you are a control person or affiliate or an immediate family/household member of a control person or affiliate of a publically traded company under SEC Rule 144 (this would include , but is not limited to, a director, 10% shareholder, policy-making officer, and members of the board of directors.) If yes, please provide name of company:

ADDITIONAL AUTHORIZED TRADER (OPTIONAL)

Attach additional sheet if necessary. You must also submit a Trade Authorization form. Authorize this person to trade on this account:

Limited Trading Authority Power of Attorney

Other: _____

COMPANY NAME COMPANY SYMBOL/CUSIP



PERSONAL INFORMATION (ADDITIONAL ACCT HOLDER)

FULL LEGAL NAME first, middle, last DATE OF BIRTH mm/dd/yyyy

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Authorize this person to trade on this account:

- Limited Trading Authority
- Power of Attorney
- Other: _____

COMPANY NAME

COMPANY SYMBOL/CUSIP



SUITABILITY - FINANCIAL POSITION

ANNUAL INCOME From all sources	ESTIMATED NET WORTH Excluding primary residence	INVESTABLE/LIQUID ASSETS Excluding primary residence	FEDERAL TAX BRACKET	ACCOUNT FUNDING SOURCE
<input type="radio"/> Under \$25,000	<input type="radio"/> Under \$50,000	<input type="radio"/> Under \$50,000	<input type="radio"/> 0% - 15%	<input type="radio"/> Asset appreciation
<input type="radio"/> \$25,000 - \$50,000	<input type="radio"/> \$50,000 - \$100,000	<input type="radio"/> \$50,000 - \$100,000	<input type="radio"/> 25% to 27.5%	<input type="radio"/> Business Revenue
<input type="radio"/> \$50,001 - \$100,000	<input type="radio"/> \$100,001 - \$500,000	<input type="radio"/> \$100,001 - \$500,000	<input type="radio"/> Over 27.5%	<input type="radio"/> Inheritance
<input type="radio"/> Over \$100,000	<input type="radio"/> Over \$500,000	<input type="radio"/> Over \$500,000		<input type="radio"/> Legal/Insurance settlement
\$ _____	\$ _____	\$ _____		<input type="radio"/> Sale of assets
				<input type="radio"/> Savings from earnings
				<input type="radio"/> Other _____

ANNUAL EXPENSES Recurring	SPECIAL EXPENSES Future and non-recurring	TIMEFRAME Required for Special Expenses
<input type="radio"/> Under \$50,000	<input type="radio"/> Under \$50,000	<input type="radio"/> Within 2 years
<input type="radio"/> \$50,000 - \$100,000	<input type="radio"/> \$50,000 - \$100,000	<input type="radio"/> 3 - 5 years
<input type="radio"/> \$100,001 - \$250,000	<input type="radio"/> \$100,001 - \$250,000	<input type="radio"/> 6 - 10 years
<input type="radio"/> \$250,001 - \$500,000	<input type="radio"/> Over \$250,000	
<input type="radio"/> Over \$500,000	\$ _____	
\$ _____		

SUITABILITY - INVESTMENT PROFILE

INVESTMENT PURPOSE	INVESTMENT OBJECTIVES	RISK TOLERANCE	GENERAL INVESTMENT KNOWLEDGE	INVESTMENT TIME HORIZON
<input type="radio"/> Save for education	Rank your Investment objectives for this account in order of importance (1 being the highest.) Review the attached Customer Agreement for important information on investment objectives.	<input type="radio"/> Aggressive	<input type="radio"/> Limited	<input type="radio"/> Near Term
<input type="radio"/> Save for retirement		<input type="radio"/> Conservative	<input type="radio"/> Good	<input type="radio"/> Very Short
<input type="radio"/> Save for short term goals (s)		<input type="radio"/> Moderate	<input type="radio"/> Extensive	<input type="radio"/> Short
<input type="radio"/> Generate Income		<input type="radio"/> Moderately Conservative		<input type="radio"/> Intermediate
<input type="radio"/> Accumulate wealth		<input type="radio"/> Moderately Aggressive		<input type="radio"/> Long
<input type="radio"/> Preserve wealth		<input type="radio"/> Combination: _____		<input type="radio"/> Combination: _____
<input type="radio"/> Market speculation				
<input type="radio"/> Other _____	<input type="checkbox"/> Income <input type="checkbox"/> Capital appreciation <input type="checkbox"/> Speculation <input type="checkbox"/> Trading profits <input type="checkbox"/> Other: _____			

INVESTMENT PRODUCT KNOWLEDGE

Check either None, Limited, Good, or Extensive based on your knowledge of the following:

	NONE	LIMITED	GOOD	EXTENSIVE
STOCKS	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
BONDS	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
MUTUAL FUNDS	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
LIMITED PARTNERSHIPS	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
VARIABLE CONTRACTS	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

SUITABILITY - FINANCIAL POSITION

ASSETS HELD AWAY - Provide total value of assets held away and percentages for each type of asset.

Total of all percentages must equal 100%. Total value of assets held way: \$ _____.

Stocks	_____%	Mutual Funds	_____%	Variable Contracts	_____%	Alternative Investments	_____%	Other	_____%
Bonds	_____%	Options	_____%	Security Futures	_____%	Foreign Currency	_____%	Total	_____%
Short-Term	_____%	Limited Partnerships	_____%	Annuities	_____%	Foreign Security	_____%		



USA PATRIOT ACT NOTICE

To help the government fight the funding of terrorism and money laundering activities, Federal law and contractual obligations to SUNBELT require that we verify your identity by obtaining your name, date of birth, address, and a government-issued identification number before opening your account. In certain circumstances, we may obtain and verify this information with respect to any person(s) authorized to effect transactions in an account. For certain entities, such as trusts, estates, corporations, partnerships, or other organizations, identifying documentation is also required. Your account may be restricted and/or closed if we cannot verify this information. We will not be responsible for any losses or damages (including, but not limited to, lost opportunities) resulting from any failure to provide this information, or from any restriction placed upon, or closing of, your account.

RESOLVING DISPUTES

This agreement contains a pre-dispute arbitration clause. Under this clause, which becomes binding on all parties when you sign your account application, you, we agree as follows:

- (1) 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.
- (2) Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.
- (3) The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.
- (4) 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.
- (5) The panel of arbitrators may include a minority of arbitrators who were or are affiliated with the securities industry.
- (6) 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.
- (7) The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.
- (b)(1) In any agreement containing a predispute arbitration agreement, there shall be a highlighted statement immediately preceding any signature line or other place for indicating agreement that states that the agreement contains a predispute arbitration clause. The statement shall also indicate at what page and paragraph the arbitration clause is located.

All controversies that may arise between you and us (including, but not limited to, controversies concerning any account, order, or transaction, or the continuation, performance, interpretation, or breach of this or any other agreement between you and us, whether entered into or arising before, on, or after the date this account is opened) shall be determined by arbitration in accordance with the rules then prevailing of FINRA, and/or any other securities self-regulatory organization or securities exchange of which the entity against whom the claim is made is a member, as you may designate. If you do not notify us in writing of your designation within five (5) days after you receive from us a written demand for arbitration, then you authorize us to make such designation on your behalf. You understand that judgment upon any arbitration award may be entered in any court of competent jurisdiction. 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; or (ii) the class is decertified; or (iii) the customer 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 except to the extent stated herein.

PRIVACY NOTICE:

We respect your privacy and are committed to providing the highest standards of confidentiality and safeguarding of your financial and other personal information. In that regard, your Representative will provide a separate Privacy Policy notice to all clients that obtain financial services from Sunbelt Securities, Inc. and its subsidiaries ("SUNBELT")

BUSINESS CONTINUITY PLAN

The United States Securities and Exchange Commission ("SEC") has required that firms create and maintain business continuity plans. In that regard, your Representative will provide a separate Business Continuity Plan disclosure statement to all clients that obtain financial services from Sunbelt Securities, Inc. and its subsidiaries ("SUNBELT"). You may also find Sunbelt's Business Continuity Plan at www.sunbeltsecurities.com or may contact Sunbelt at 713.965.9510.

FINRA BROKERCHECK

You may obtain an investor brochure that includes information describing FINRA BrokerCheck® by contacting the FINRA BrokerCheck® Hotline Number, (800) 289-9999, or by visiting FINRA's website at www.finra.org.

ACKNOWLEDGEMENT

I agree to indemnify SUNBELT, and hold SUNBELT harmless for, any losses resulting from actions or failures to act, whether intentional or not including losses resulting from actions taken by third parties. Beyond taking reasonable steps to verify the authenticity of instructions, SUNBELT has no obligation to inquire into the purpose, wisdom, or propriety of any instructions received.

I acknowledge receiving a copy of this Customer Profile Form, the Privacy Policy notice and Business Continuity Plan disclosure statement. I have had the opportunity to read these documents and I understand them. Furthermore, I agree to the terms and conditions contained therein. The signature below confirms that I have read and fully understand the context of this application.

Primary Client Signature & Date

Financial Advisor Signature & Date

Joint Client Signature & Date

Principal Signature & Date

FOR HOME OFFICE USE ONLY	
OFAC Check (Primary Client): Initials: _____ Date: _____	OFAC Check (Joint Client): Initials: _____ Date: _____



PRIVACY POLICY

This notice describes the privacy policy of Sunbelt Securities, Inc., a broker-dealer and Registered Investment Adviser. We are required, by federal law, to provide you with this notice, which outlines our business practices to protect your privacy as well as how we collect and share personal information about you. This policy applies to both current and former clients.

We Respect Your Privacy

Sunbelt Securities, Inc. ("SUNBELT") is committed to protecting your privacy. SUNBELT relies on access to your personal financial information in order to provide you with relevant information regarding the products and services we offer as well as provide you with appropriate investment recommendations. We appreciate and understand that the personal financial information you have entrusted to us is sensitive and confidential and we have adopted policies and procedures which assist us in safeguarding the information you provide to us.

Personal information we collect about you

SUNBELT collects confidential client information from you in a number of ways including information provided on our new account applications and other forms we receive from you, consumer reporting agencies, information obtained through our website, as well as information obtained from other sources.

For example:

- We collect information such as your name, address, telephone number, email address, social security number, date of birth, net worth, income, financial objectives and investment experience through applications and other forms you submit to us
- We may access information regarding your account balances, your use of account(s), and the types of products and services you prefer through your interactions and transactions with us
- We may obtain information about your creditworthiness and credit history from credit reporting agencies
- We may collect background information from and through third-party vendors to verify representations you have made and to comply with various regulatory requirements

How we share your personal information

SUNBELT is registered as a broker/dealer and as an investment adviser with the U.S. Securities and Exchange Commission ("SEC"). SUNBELT is a member of the Financial Industry Regulatory Authority ("FINRA"), the Municipal Securities Rulemaking Board ("MSRB") and the Securities Investor Protection Corporation ("SIPC"). SUNBELT has no affiliated companies.



SUNBELT does not share confidential information about our clients with unaffiliated third parties unless such disclosure is necessary to manage and service your account. For example, we provide access to information about you to unaffiliated third parties in certain limited circumstances, including:

- to help us process transactions for your account(s)
- to help us manage and service your account(s)
- when we contract with third parties to provide account related services such as printing, mailing, and data processing services
- when we believe that disclosure is required or permitted under law. For example, we may be required to disclose your personal information to cooperate with regulatory or law enforcement authorities, to report tax-related information to federal and state governments, to resolve consumer disputes, to perform credit/authentication checks, or for risk control.

SUNBELT recognizes that your relationship with your Financial Professional is important. If your Financial Professional ends his affiliation with us, and (s)he joins another broker-dealer with which we have entered into an agreement limiting the use of information, we will permit your Financial Advisor to retain certain contact information limited to your name, address, telephone number, email address and account title.

How we protect your confidential personal information about you

We have internal policies and procedures which govern the handling of client information by employees. Third parties which provide account service and support on our behalf may also receive personal information about you, and we require them to adhere to appropriate security standards with respect to such information. Under no circumstances will SUNBELT sell confidential client information to anyone, for any reason, at any time.

Contact Us with Questions

If you have any questions or concerns, or if you identify any information that you believe is no longer accurate, you may contact your SUNBELT Registered Representative or write to SUNBELT, Attn: Compliance Department, 2700 Post Oak Blvd, Suite 1700, Houston, TX 77056.

SIPC Notice

Accounts that are carried by National Financial Services, LLC (“NFS”), member of NYSE/FINRA/SIPC, are covered by the Securities Investor Protection Corporation (“SIPC”). SIPC coverage is not the same as FDIC insurance. In the event of a Sunbelt’s failure, SIPC protects its members’ securities customers up to \$500,000 (including \$100,000 for claims for cash). You may obtain an explanatory brochure by contacting SIPC at (202) 371-8300, visiting SIPC’s website at www.sipc.org or by asking your Registered Representative. Each customer account carried by NFS also receives excess SIPC protection. Neither SIPC coverage nor excess SIPC coverage applies to market losses.

Thank you for your business and allowing us to service your needs.



BUSINESS CONTINUITY

Sunbelt Securities, Inc. has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our business continuity plan.

CONTACTING US – If after a significant business disruption you cannot contact us as you usually do at 713-965-9510, you should call our alternative number 713-253-4700 (Patrick Smetek) or 713-819-1439 (David Smetek) or go to our website at www.sunbeltsecurities.com.

If you cannot access us through either of those means, you should contact one of the following individuals; Ray Miller 713-614-7777, Cara McKee 281-513-5396, Thomas Buckley 281-380-4978 or Dagny Young 214-766-9347. You should also be able to contact your Registered Representative directly.

OUR BUSINESS CONTINUITY PLAN – We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm's books and records, and allowing our customers to transact business. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our business continuity plan addresses: data backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Our clearing firm, NFS, backs up our important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our clearing firm that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within the same business day. Your orders and requests for funds and securities could be delayed during this period.

VARYING DISRUPTIONS – Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within the same business day.

In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area and recover and resume business within 2-3 business days.

In the event of an epidemic or pandemic, we would instruct all non-essential personnel to continue working remotely from a safe location, such as their own homes, in order to mitigate the spread of the contagion through social distancing. In the event of a mandatory quarantine, all personnel shall continue business operations remotely. We have electronically stored our asset management data, financial data and other important documents and would be able to access them remotely if needed. Incoming calls will be forwarded to the home or cell phone number of employees, if possible. We would utilize whatever means necessary to contact our investors including email, website, telephone, and mail.

In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you through our web site www.sunbeltsecurities.com or customer emergency number, 713-253-4700. If the significant business disruption is so severe that it prevents us from remaining in business, you may contact the NFS Customer Service Line at 800-801-9942 which will assure our customer's prompt access to their funds and securities. *(Please note that the representatives at this number will **only** be able to assist you with your account in the event that our firm goes out of business entirely. If this is not the case and we are simply experiencing a temporary business disruption, you should follow the alternate routes of contact previously mentioned.)*

FOR MORE INFORMATION – If you have questions about our business continuity planning, you can contact us at 713-965-9510.