

Client Account Information

400 Robert Street North • St. Paul, Minnesota 55101-2098 • 1-888-237-1838



Return To: A3-5859

1. Broker - Dealer [] Securian [] CRI 2. Status [] New [] Existing Account

3. Account Registration (Select one)

For the "individual" accounts listed below, do not complete Section 15
[] Individual (includes IRAs/529 Plans) [] Joint [] Custodial

For the "entity" accounts listed below, do not complete sections 7 through 11 and 14
[] Corporation [] Trust [] Partnership [] LLC Other _____

4. Account Owner(s)

Owner name (primary or minor) Social Security/tax ID
Joint owner name (custodian) Social Security/tax ID

PART 1

Complete for new accounts or updates.

For existing clients, if current information is on file with Broker/Dealer, check here [] and proceed to PART 2.

5. Owner (Primary or Minor)

Date of birth Daytime telephone number

[] Check here if street address is listed on another form being submitted and proceed to #6.

Street address (no P.O. box) Apt./suite #
City State Zip code

6. Mailing Address (P.O. Box accepted) All correspondence will be sent to this address. If not different, correspondence will go to street address.

[] Check here if street address is listed above and proceed to #7.

Address Apt./suite #
City State Zip code

7. Citizenship / Identification - Owner (Does not apply to Trusts/Business Entities)

Citizen of: [] U.S. [] Resident Alien of [] Non-Resident Alien of
ID # Exp. Date: ID issuer: [] State of [] U.S. Government
ID Provided: [] U.S. Driver's License [] Greencard [] U.S. Passport [] Other

Representative viewed ID?
[] Yes [] No

8 Owner Employer Information (Does not apply to Trusts/Business Entities)

Employer name
Occupation [] Homemaker [] Retired [] Student [] Unemployed
City State Zip code

9. Joint Owner (Secondary or Custodian) (Does not apply to Trusts/Business Entities)

Date of birth Daytime telephone number

[] Check here if address is same as owner listed above, and proceed to #10.

Street address (no P.O. box) Apt./suite #
City State Zip code

10. Citizenship / Identification - Joint Owner (Does not apply to Trusts/Business Entities)

Citizen of: [] U.S. [] Resident Alien of [] Non-Resident Alien of
ID # Exp. Date: ID issuer: [] State of [] U.S. Government
ID Provided: [] U.S. Driver's License [] Greencard [] U.S. Passport [] Other

Representative viewed ID?
[] Yes [] No

11. Joint Owner Employer Information (Does not apply to Trusts/Business Entities)

Employer name
Occupation [] Homemaker [] Retired [] Student [] Unemployed
City State Zip code



ASC00005

F38487 Rev 2-2007

12. General Information

The owner, joint owner, and/or custodian is affiliated with, or employed by an NASD member firm.

If Checked, Name & Address of Firm _____

The owner, joint owner, and/or custodian is an officer, director, or 5% shareholder of a publicly traded company.

If Checked, Name & Address of Firm _____ CUSIP _____

13. Overall Investment Profile for this Registration (If Custodial, must be Custodian's objectives for the Minor)

Overall investment objective (check one)

Capital Preservation Income Income & Growth Conservative Growth Growth Aggressive Growth

Overall risk tolerance (check one)

Conservative/Low Moderate Aggressive/High

Time horizon (check one)

3 years or less 4-8 years 9-11 years 12 + years

Prior investment experience (check all that apply)

Mutual Funds Limited Partnerships Variable Life Insurance
 Stocks Other Brokerage Accounts Other _____
 Bonds Employer Sponsored Qualified Plan
 Options/Margin Variable Annuities

Years of Investment Experience _____

Number of Dependents _____

14. Individual / Joint Household Financial Information

Approximate annual income (from all sources)	Estimated net worth (exclusive of car & home – does not include this investment)	Estimated liquid net worth (cash & cash equivalents – does not include this investment)	Federal tax range	
\$ _____	\$ _____	\$ _____	<input type="checkbox"/> 0-15%	<input type="checkbox"/> 32.1-50%
			<input type="checkbox"/> 15.1-32%	<input type="checkbox"/> 50.1% +

15. Corporations, Trusts, Entity Information Only

Approximate total assets	Nature of business
\$ _____	_____

PART 2

Complete only if different from OVERALL client profile

16. Investment Profile for this Account

Product/Account Number: _____

Investment objective for transaction (check one)

Capital Preservation Income Income & Growth Conservative Growth Growth Aggressive Growth

Time horizon (check one)

3 years or less 4-8 years 9-11 years 12 + years

Signatures – ALWAYS Required

I believe the information provided is true and accurate to the best of my knowledge. **This document contains a pre-dispute arbitration clause which appears on the third page, item E, and a Notification of Identity Verification.** I HAVE READ, AGREE WITH, AND HAVE RECEIVED A COPY OF THE STATEMENTS AND DISCLOSURES ON THE THIRD PAGE.

Owner / legal representative signature X	State of sale	Date
Joint owner signature X		Date

I believe the information provided is true and accurate to the best of my knowledge.

Representative name (print)	Firm & rep. code	Split %
Representative signature X		Date
Representative name (print)	Firm & rep. code	Split %
Representative name (print)	Firm & rep. code	Split %
Home office principal signature X		Date



CLIENT ACCOUNT INFORMATION FORM
Statements and Disclosures

CLIENTS SHOULD RETAIN A COPY OF THIS PAGE FOR THEIR RECORDS.

A. GENERAL

- I understand I will receive and am advised to read a current copy of the prospectus/offering memorandum for any investment at or prior to investing. (Not applicable to secondary equity offerings.)
- I have been informed of all charges and expenses associated with my investment, including, if applicable, any charges for transactions processed through our clearing firm. I have received and reviewed the schedule of fees to be charged to me for all proposed investment activities.
- I realize that an investment intended as long-term should be held for a number of years. Due in part to the sales charges involved, selling or surrendering in the short-term may result in a loss.
- I am aware there is no assurance that the initial objective/s of any investment will be achieved. Thus, when I ultimately sell or surrender the investment, I may receive more or less than the amount I invested.
- I realize that the element of risk is inherent in any investment, what varies is the degree of risk. Generally, the greater the potential return, the greater the risk I must be willing to assume.
- If I am transferring assets from another mutual fund, annuity or advisory account into this new investment, I understand that sales charges may have been incurred under the prior investment and that I may incur a sales charge on the current investment as well.
- I will only make payment by check payable to the entity listed on the application or in the prospectus and never payable directly to a representative or an entity through which the representative may gain access to my funds. I will not loan to nor borrow from a representative any monies or securities.
- It will be my responsibility to inform my representative/advisor of any changes in my personal profile/circumstances.

B. MUTUAL FUNDS INVESTORS

- I have been informed of the ways to reduce the sales charges, namely, the breakpoint discounts, the Letter of Intent and Rights of Accumulation.
- If I have purchased a fund which offers multiple classes of shares, the charges and expenses of each class have been explained to me so I am comfortable that I have made the appropriate choice.

C. NOTIFICATION OF IDENTITY VERIFICATION

- I understand that my identity may be verified by the Company in accordance with USA PATRIOT Act of 2001. This verification may include, but is not limited to, contact with financial institutions, consumer reporting agencies and government agencies.

D. ADDRESS

All communication will be sent to the mailing address I have provided on page 1 of this form. If no mailing address is provided, I understand the street address will be deemed the mailing address.

E. ARBITRATION DISCLOSURES

This agreement contains a predispute arbitration clause. By signing an arbitration agreement the parties 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.**
- 5) **The panel of arbitrators will typically 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.**

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 the National Association of Securities Dealers, Inc. and in accordance with its rules. Arbitration must be commenced by service upon the other party of 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 predispute arbitration agreement against any person who has initiated in court a putative class action; or 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.

F. DISCREPANCIES

Reports of the execution of transactions and statements of the account of the undersigned shall be conclusive if not objected to in writing as follows:

- For transactions in a brokerage account, discrepancies must be reported within **30 days** of the trade date.
- For all other transactions, discrepancies must be reported within **30 days** after receipt of the initial confirmation or, if none, the statement of the account by the undersigned.

Any inaccuracy or discrepancy in an account must be reported promptly, and all oral communications should be re-confirmed in writing to protect rights under the Securities Investor Protection Act (SIPA). Notice of a discrepancy should be sent to the address below.

G. COMPLAINTS

Complaints may be directed to:

Securian Financial Services, Inc. - or -
CRI Securities, LLC
ATTN: A5-7779
400 Robert Street North
St. Paul, MN 55101
1-888-237-1838, option 6, extension 57779
sfsservicecenter@securian.com