

Account Certifications Form

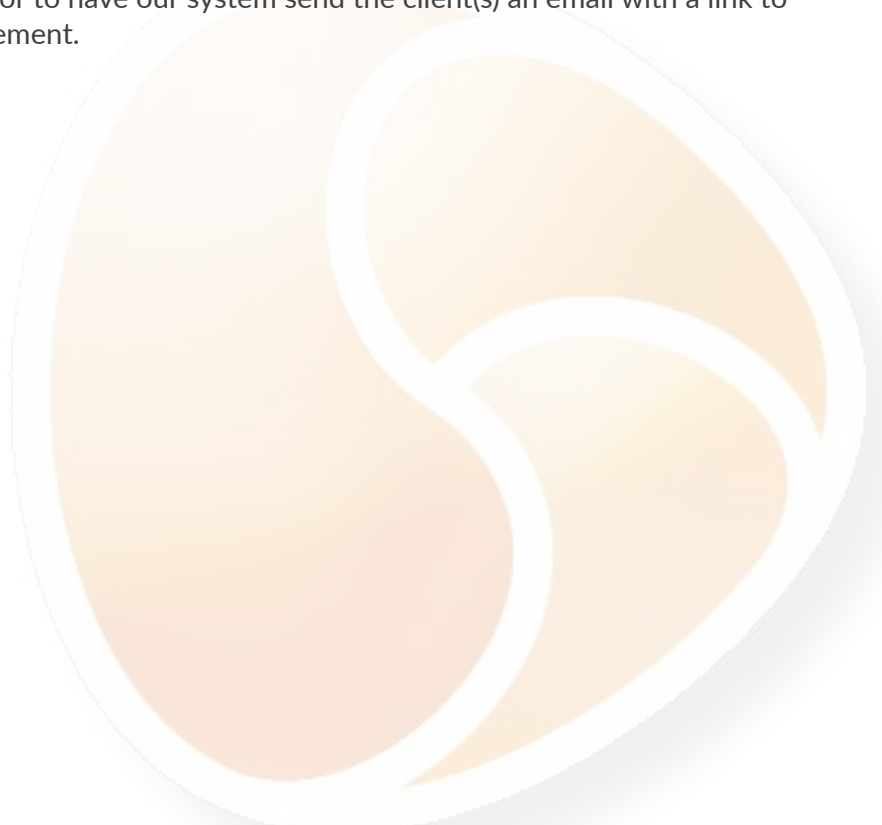
Use this form after a new account has been opened online, only if your client will not be electronically signing our Customer Agreement.

Instructions

If your client(s) signs this package instead of signing on our site, you may upload a PDF of the signature page to our advisor site at www.folioinstitutional.com using the account specific **Item for Attention** found on your advisor **Dashboard**, which will remove the restriction on the account for the missing Customer Agreement client signature.

Please Note

After you enter all of the required client information on our site, you will have the option for the client(s) to esign our Customer Agreement (if they are present) or to have our system send the client(s) an email with a link to login to our site and esign our Customer Agreement.



Client Account Certifications

Use this page to gather required signatures for Individual, Joint, IRA, Revocable Trust, and Custodial accounts.

PART 1: Advisor Information

Advisor Name	First Name	Middle Initial	Last Name
Advisor's Firm Name			

PART 2: Account Owner Information

Account Owner	Name	Social Security Number (SSN)/Tax Identification Number (TIN)
		- -
Co-Account Owner	Name	Social Security Number (SSN)/Tax Identification Number (TIN)
		- -
Folio Institutional Account Number	Account Name	

PART 3: Account Owner Signatures

I certify, under penalty of perjury, that:

- The TIN on this application is the account owner's true TIN and the Primary Account Owner is a U.S. person. Visit our online help center at www.folioinstitutional.com/advisorhelp/open-account.jsp for the definition of a U.S. person.
- The Primary Account Owner listed above is not subject to backup withholding as a result of failure to report all interest and dividends, or the Internal Revenue Service (IRS) has notified them they are no longer subject to backup withholding.
Check here ONLY if subject to backup withholding.
- I, as the account owner or as an authorized person signing on behalf of the account owner, have read, understand, and I acknowledge I have received, read, and agree to the terms and conditions set forth in the Customer Agreement, which can be found online at www.folioinstitutional.com.

By signing below, I agree to the terms of the [Customer Agreement](#) including the [Exhibit 1 - Pre-dispute arbitration clause provided as Exhibit 1](#).

The IRS does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

Account Owner/Custodian	X	Date (mm/dd/yyyy)
		/ /
Additional Account Owner/Co-Custodian	X	Date (mm/dd/yyyy)
		/ /

* Note: All account owners must sign. Additional account owners can sign below.

Part 4: Beneficiary Spousal Waiver

Complete this section ONLY if you are a married resident of a community property state (Arizona, California, Idaho, Louisiana, Nevada, New Mexico, Texas, Washington, or Wisconsin) and are not naming your spouse as 100% primary beneficiary. By signing below, I certify the following: I am the spouse of the above-named account owner. I acknowledge that I have received a fair and reasonable disclosure of my spouse's property and financial obligations. Due to the important tax consequences of giving up my interest in this account, I have been advised to see a tax professional. I hereby give the account owner any interest I have in the funds or properties deposited in this account and consent to the beneficiary designation indicated above. I assume full responsibility for any adverse consequences that may result. No tax or legal advice was given to me by Folio. By signing below I accept the beneficiary designations for this account, for which I am not named as the 100% primary beneficiary.

Spouse Signature	Spouse Name	Date (mm/dd/yyyy)
	X	/ /

Corporate Account Certifications

Use this page to gather required signatures for Corporate, Partnership, LLC, Sole Proprietorship, Investment Club, Business Trust, and Unincorporated Organization accounts.

PART 1: Advisor Information

Advisor Name	First Name	Middle Initial	Last Name
Advisor's Firm Name			

PART 2: Entity Information

Account	Account Name	Folio Institutional Account Number	
Entity	Entity First Name	Middle Initial	Entity Last Name
	Entity TIN - -		Entity is incorporated, organized, or formed under the laws of which state?

Authorized Representative	
First Name	Middle Initial
Last Name	
SSN/TIN - -	

PART 3: Authorized Representative Certification and Signature

I certify, under penalty of perjury, that:

- The TIN on this application is the account owner's true TIN and the Primary Account Owner is a U.S. person. Visit our online help center at www.folioinstitutional.com/advisorhelp/open-account.jsp for the definition of a U.S. person.
- The Entity listed above is not subject to backup withholding as a result of failure to report all interest and dividends, or the Internal Revenue Service (IRS) has notified them they are no longer subject to backup withholding.
Check here ONLY is subject to backup withholding.
- On behalf of the Entity listed above, I acknowledge I have received, read, and agree to the terms and conditions set forth in the Customer Agreement, which can be found online at www.folioinstitutional.com.
- I am authorized to: (i) act on behalf of the Entity listed above; (ii) open an account at Folio Institutional for the Entity listed above; and (iii) designate the additional authorized representatives listed above as authorized to act on this account.

By signing below, I agree to the terms of the [Customer Agreement](#) including the [Exhibit 1](#) - Pre-dispute arbitration clause provided as Exhibit 1.

The IRS does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

Authorized Representative Certification	X	Date (mm/dd/yyyy) / /
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