

Account Number _____

Rep ID _____ Alternate Branch _____

NEW CLIENT WORKSHEET – ENTITY

ENTITY DETAILS

Entity Identification Number Foreign Yes No

Entity Name

Qualified Plan Date or Trust Date (if applicable)

Legal Structure
Partnerships
Business Non-Profit
Business Corporation
Government

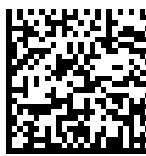
Number of employees
 Less than 5 5 – 10 11 – 20 21 – 100 101 – 500 501-1000 1001 – 5000 More than 5000

Is Client a Financial Entity? Yes No
If yes, please check one:
 Federally regulated bank State regulated mortgage Thrift
 Federally regulated mortgage State regulated savings association Mutual fund
 Federally regulated savings association State regulated bank Introducing broker
 Federally registered investment advisor Savings and loan Futures commission merchant
 Federally regulated credit union Other foreign Insurance company
 State registered investment advisor Foreign Bank

Investment Objective (choose one)
 Preservation of Principal/Income – The investment goal is capital preservation and generation of current income.
 Aggressive Growth/Aggressive Income – The investment goal is significant capital appreciation and/or income generation.
 Balanced Growth – The investment goal is a balance between capital appreciation and wealth preservation.
 Speculation – The investment goal is to maximize capital appreciation.
 Growth – The investment goal is capital appreciation.

Risk Tolerance. Please indicate your risk tolerance specific to the investments in this account.
 Minimal: I have a minimal tolerance for risk and am willing to accept the lowest possible returns which may not keep pace with inflation.
 Low: I have a low tolerance for risk and am willing to accept some level of volatility to seek returns with less fluctuation in value.
 Moderate: I have a moderate tolerance for risk and am willing to accept modest returns with potential for some fluctuation in value.
 High: I have a moderate to high tolerance for risk and am willing to accept the potential for greater fluctuation in value to seek higher returns.
 Maximum: I have a high tolerance for risk and am willing to accept the potential for significant fluctuation or loss in value while seeking to maximize potential returns.

Investment Decision Making. How involved are you in making your investment decisions?
 I make my own investment decisions and/or consult with someone other than my Financial Advisor.
 I discuss investment decisions with my Financial Advisor, but I also consult other sources of financial information and/or discuss with other parties.
 I rely on the guidance of my Financial Advisor most of the time.
 I follow the recommendations of my Financial Advisor all of the time.
 This is my first investment account other than my employer sponsored retirement program.



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ENTITY DETAILS CONTINUED

Liquidity Needs. On an annual basis, what are your expected withdrawal needs from this account?

- Less than \$10,000, \$10,000 to \$99,999, \$100,000 to \$499,999, \$500,000 to \$999,999, \$1,000,000 to \$2,499,999, \$2,500,000 +

Investment Time Horizon. When do you expect to cease accumulating assets in this account, and begin withdrawing significantly from the principal?

- Less than 1 year, 1 to 3 years, 4 to 6 years, 7 to 8 years, 9 to 11 years, 12 years or more

Investment Experience. Please check the products/strategies that best reflect your investment experience to date.

- None, Stocks, Bonds, Mutual Funds, Options, Annuities, Margin, Futures, Active Short-Term Trading, Exchange Traded Funds, Inverse/Leveraged Products, Alternative Investments

Source of Client
Client Referral, RBC Referral, Cold Call, Existing Client, New Rep Transfer, Personal Acquaintance, Seminar, Walk-in/Call-in

Name of referring person

CONTACT/ADDRESS

Note: Information in this section is for the entity. Entity contact information should be entered on page 2.

Business Phone, Extension, Fax

Alternate Phone, Preferred Phone, Alternate, Business

Address of Business – If alternate addresses, please attach additional pages (up to five alternate addresses may be accepted).

Country, Apartment Number, Suite Number

Street, City

State, Zip Code

FINANCIAL

Gross Annual Revenue, Total Assets, Less than \$100,000, \$100,000 - \$499,999, \$500,000 - \$999,999, \$1,000,000 - \$9,999,999, \$10,000,000 - \$999,999,999, \$1,000,000,000+, \$1,000,000 - \$49,999,999, \$50,000,000 - \$999,999,999, \$1,000,000,000+

Invested Assets (Aggregate Assets in Portfolio), Is the client a large trader?*, Large Trader ID, Less than \$100,000, \$100,000 - \$499,999, \$500,000 - \$999,999, \$1,000,000 - \$9,999,999, \$10,000,000 - \$999,999,999, \$1,000,000,000+, Yes, No

CLIENT ROLES - INDIVIDUAL

Roles for Individuals – if more than one Role or more than one individual in a Role, please attach additional pages.

- Beneficial Owner, Entity Contact, Executor, Grantor, Investment Club Member, Plan Sponsor, Trustee (Greater than 25%)

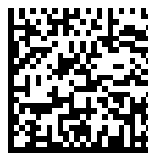
SSN, Date of Birth (mm/dd/yyyy)

Prefix, First Name, Middle Initial, Last Name, Suffix

Contact Information

Business Phone, Extension, Cell Phone

Alternate Phone, Preferred Phone, Alternate, Business, Cell



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NEW CLIENT WORKSHEET – ENTITY

CLIENT ROLES – INDIVIDUAL CONTINUED

Fax	E-mail
Address of Residence	
Country	<input type="checkbox"/> Apartment Number _____ <input type="checkbox"/> Suite Number _____
Street	City
State	Zip Code

CLIENT ROLES – ENTITY

Roles filled by an Entity (please check Role) Plan sponsor Third party administrator Trustee

EIN	<input type="checkbox"/> Foreign <input type="checkbox"/> Awaiting EIN
Entity Type: <input type="checkbox"/> Business – Corporation <input type="checkbox"/> Estate <input type="checkbox"/> Business – Investment Club <input type="checkbox"/> Government <input type="checkbox"/> Business – Non-Profit <input type="checkbox"/> Trust <input type="checkbox"/> Business – Partnership	Employer Plan Sponsored Retirement Plan: <input type="checkbox"/> Custodial Qualified Plan <input type="checkbox"/> Self-Trusteed Qualified Plan using RBC Wealth Management documents <input type="checkbox"/> Self-Trusteed Qualified Plan using third-party documents

Entity (Estate, Trust or Plan) Name:

Contact Information

Prefix	First Name	Middle Initial	Last Name	Suffix
Business Phone		Extension	Cell Phone	
Alternate Phone			Preferred Phone <input type="checkbox"/> Alternate <input type="checkbox"/> Business <input type="checkbox"/> Cell	
Fax			E-mail	

Address of Business

Country	Suite Number
Street	City
State	Zip Code



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NEW ACCOUNT WORKSHEET – ENTITY

TRUSTED CONTACT PERSON - NOT APPLICABLE FOR INSTITUTIONAL ACCOUNTS

The trusted contact person is intended to be a resource for RBC WM in protecting assets and responding to possible financial exploitation. RBC WM may contact the trusted contact person and disclose pertinent account information, as necessary, to address possible financial exploitation and/or to confirm the client's current contact information, health status or the identity of any authorized representatives (e.g. POA, trustee, etc.) or beneficiaries. A trusted contact is not an authorized party on the account and RBC WM will not accept instructions from him/her to effect transactions and/or change information related to the account. *Information required to designate a trusted contact.

Form fields for Trusted Contact Person: First Name, M.I., Last Name, Phone Number, Email address, Address, Apt/Suite, City, State, Zip Code, Relationship (Child, Domestic Partner, Parent, Sibling, Spouse, Other Relative, No Relation).

ASSOCIATIONS

Controlling Security Positions - Is the client in a control position? Yes No

If yes:

Business Name, Position or Title

Symbol

Employee Relationship - Is the client related to an employee? Yes No

If yes:

Employee First Name, Employee Middle Initial, Employee Last Name

Relationship to Employee

Class: M - Senior manager, U - Employee-immediate relationship, V - Employee-extended relationship, Z - Director that is an employee

ACCOUNT

Account Types

Estate

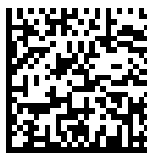
Trust Trust Title (must be exact title listed on trust) Trust Date

Entity

Business Corporation, Business Investment Club, Business Non-Profit, Business Partnership, Government

Retirement

- TB - Self Trusteed Profit Sharing and 401(k) and Money Purchase Plan
TM - Self Trusteed Money Purchase Plan
TP - Self Trusteed Profit Sharing Plan
TK - Self Trusteed 401(k) Profit Sharing Plan
TO - Self Trusteed Owner Only 401(k) Profit Sharing Plan
KM - Custodial Money Purchase Plan
KP - Custodial Profit Sharing Plan
DI - Decedent IRA
DO - Decedent ROTH
DK - Decedent Custodial Plan
DB - Decedent 403(b) Plan
4K - 401(k) plan using a third-party document
S4 - SIMPLE 401(k) plan
QP - Qualified Plan using a third-party document



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NEW CLIENT WORKSHEET – ENTITY

ACCOUNT CONTINUED

Source of Funds	<input type="checkbox"/> Business/Self-Employment	<input type="checkbox"/> Sale of Asset	<input type="checkbox"/> Settlement	<input type="checkbox"/> Investment Income
	<input type="checkbox"/> Gift/Inheritance	<input type="checkbox"/> Savings	<input type="checkbox"/> Wages/Income	

Trading Authority

SSN		Date of Birth (mm/dd/yyyy)	
First Name	Middle Initial	Last Name	Suffix

ADDITIONAL SERVICES

- ACH
- Advisory Services
- Investment Access/VISA/Checking
- RBC Express Credit (margin)
- Options
- RBC Wealth Management Connect
- Standard Checking

*A "large trader" is defined as a person or entity that: (i) directly or indirectly exercises investment discretion over accounts and effects transactions for such accounts in exchange-listed securities that equal or exceed two million shares or \$20 million during any calendar day, or 20 million shares or \$200 million during any calendar month; or (ii) voluntarily files SEC Form 13H.