

LaBrunerie Financial Services, Inc.  
 Alexander LaBrunerie & Co., Inc.  
 A Registered Investment Advisor

New Account Form  
 (Check One)

Revised 2010

- LaBrunerie Financial Brokerage/Non-Brokerage Account       OFAC \_\_\_\_\_  
 Alexander LaBrunerie Advisory Account                       CIP Disclosure \_\_\_\_\_

Type of Account	<input type="checkbox"/> Individual	<input type="checkbox"/> IRA	<input type="checkbox"/> SEP IRA	<input type="checkbox"/> Roth IRA	<input type="checkbox"/> Roth Conversion	<input type="checkbox"/> Simple IRA	<input type="checkbox"/> JTROS
	<input type="checkbox"/> JT TEN	<input type="checkbox"/> UGMA/UTMA	<input type="checkbox"/> Profit Sharing*	<input type="checkbox"/> Trust*	<input type="checkbox"/> Corporate*	<input type="checkbox"/> 401(k)*	<input type="checkbox"/> Margin*
	<input type="checkbox"/> Options*	<input type="checkbox"/> 403b	<input type="checkbox"/> Life Insurance	<input type="checkbox"/> Other:	(*Additional documentation required to open account)		

Account Registration			ID
Street Address			How Long?
Mailing Address			Phone
DOB	M D S W	SSN	US Citizen? <input type="checkbox"/> Yes <input type="checkbox"/> No
			Source of Income if retired?

Circle One: 1. Employee of Bank, Brokerage or Insurance Co.? 2. Relative of #1? 3. Officer, Director, Controller or 10% Shareholder of a Publicly Traded Co.?

Occupation	Employer	Years Employed	Phone
Address			
Joint Owner	Spouse Other _____	EIN or SSN	DOB
US Citizen? <input type="checkbox"/> Yes <input type="checkbox"/> No	Occupation	Employer	Phone
Address		Years Employed	ID

<b>Estimated Net Worth (excluding residence)</b>	<b>Estimated Liquid Net Worth</b>	<b>Estimated Annual Income</b>	<b>Objectives</b>	<b>Goals</b>	<b>Investment Knowledge</b>
<input type="checkbox"/> \$0-49,999	<input type="checkbox"/> \$0-49,999	<input type="checkbox"/> \$0-24,999	<input type="checkbox"/> Safety of Principal	<input type="checkbox"/> Retirement	<input type="checkbox"/> Limited
<input type="checkbox"/> \$50,000-99,999	<input type="checkbox"/> \$50,000-99,999	<input type="checkbox"/> \$25,000-49,999	<input type="checkbox"/> Tax Benefits	<input type="checkbox"/> Wealth Accumulation	<input type="checkbox"/> Good
<input type="checkbox"/> \$100,000-199,999	<input type="checkbox"/> \$100,000-199,999	<input type="checkbox"/> \$50,000-74,999	<input type="checkbox"/> Income	<input type="checkbox"/> Education	<input type="checkbox"/> Extensive
<input type="checkbox"/> \$200,000-299,999	<input type="checkbox"/> \$200,000-299,999	<input type="checkbox"/> \$75,000-99,999	<input type="checkbox"/> Growth & Income	<input type="checkbox"/> Estates	<b>Portfolio Time Horizon</b>
<input type="checkbox"/> \$300,000-499,999	<input type="checkbox"/> \$300,000-499,999	<input type="checkbox"/> \$100,000-199,999	<input type="checkbox"/> Growth	<b>What kind of investor?</b>	<input type="checkbox"/> Short (1-3 yrs)
<input type="checkbox"/> \$500,000-999,999	<input type="checkbox"/> \$500,000-999,999	<input type="checkbox"/> \$200,000-299,999	<input type="checkbox"/> Aggressive Growth	<input type="checkbox"/> Conservative	<input type="checkbox"/> Intermediate (3-6 yrs)
<input type="checkbox"/> \$1,000,000+	<input type="checkbox"/> \$1,000,000+	<input type="checkbox"/> \$300,000-499,999	<input type="checkbox"/> Speculation	<input type="checkbox"/> Moderate	<input type="checkbox"/> Long (6+ yrs)
<b>Estimated Federal Tax Bracket:</b> _____		<input type="checkbox"/> \$500,000-999,999		<input type="checkbox"/> Aggressive	
		<input type="checkbox"/> \$1,000,000+			

**Investor Experience (years)**  None \_\_\_\_\_  Stocks \_\_\_\_\_  Bonds \_\_\_\_\_  Mutual Funds \_\_\_\_\_  Fixed Annuities \_\_\_\_\_  
 Variable Annuities \_\_\_\_\_  Variable Life \_\_\_\_\_  Options \_\_\_\_\_  Margin \_\_\_\_\_  Limited Partnerships \_\_\_\_\_

Beneficiary	Children
-------------	----------

I certify under penalties of perjury (1) that the Social Security and/or Taxpayer Identification Number provided herein is correct, and (2) that the IRS has never notified me that I am subject to backup withholding, or has notified me that I am no longer subject to such backup withholding. (Note: If part (2) is **NOT TRUE**, please **STRIKE OUT THAT PART** before signing.)

I understand that, due to the nature of LaBrunerie's business, telephone calls to LaBrunerie or my representative may be recorded and I hereby consent to such recording. **I REPRESENT THAT I HAVE READ THE TERMS AND CONDITIONS GOVERNING THIS ACCOUNT AND AGREE TO BE BOUND BY SUCH TERMS AND CONDITIONS AS ARE CURRENTLY IN EFFECT AND AS MAY BE AMENDED FROM TIME TO TIME. THIS ACCOUNT IS GOVERNED BY A PRE-DISPUTE ARBITRATION AGREEMENT WHICH IS LOCATED ON THE REVERSE SIDE OF THIS AGREEMENT. I ACKNOWLEDGE RECEIPT OF THE PRE-DISPUTE ARBITRATION AGREEMENT AND AGREE TO THESE TERMS AND CONDITIONS.**

**IMPORTANT INFORMATION ABOUT PROCEDURES FOR OPENING A NEW ACCOUNT:** To help the government fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions, including us, to obtain, verify and record information that identifies each person who opens an account. What this means for you: When you open an account, we will ask for your name, address, date of birth, social security number, and other information that will allow us to identify you, such as your home telephone number. We may also ask to see your driver's license or other identifying documents. Until you provide the information we need, we may not be able to open an account or effect any transactions to you.  Privacy Notice Given  I acknowledge receipt of the prospectus for this new account with \_\_\_\_\_. I accept the electronic delivery of prospectus to my email address of \_\_\_\_\_.

Account Holder	Date	Joint Account Holder	Date
----------------	------	----------------------	------

**The agreement contains a predispute arbitration clause. The predispute arbitration clause is on page 2 of this document.**

Rep Name _____	Rep # _____	Principal Name _____	Date _____
Rep Signature _____	Date _____	Principal Signature _____	

**LABRUNERIE FINANCIAL SERVICES, INC. (LFSI)  
ALEXANDER LABRUNERIE & COMPANY, INC. (AFL, Inc.)  
CLIENT AGREEMENT**

1. I (we) verify that all of the information provided on the reverse side of the document is a true and correct representation of my (our) current financial situation and past investment experience. I (we) hereby agree to inform LaBrunerie Financial Services, Inc. (hereinafter LFSI) promptly of any material change in the information provided. I (we) understand that LaBrunerie Financial Services, Inc. as a company provides no tax, legal, or investment advice or offer any opinion with respect to the suitability of any security or transaction. I (we) understand that Alexander LaBrunerie & Co. (hereinafter AFL, Inc.) does not offer tax advice or legal advice and hold AFL, Inc. harmless for any tax liabilities incurred through our investment transactions.
2. I (we) verify that I (we) am (are) at least 18 years of age and have reached the full legal age in the state in which I (we) reside. If this is a joint account, unless we notify LFSI or AFL, Inc. otherwise and provide such documentation as you require, the account(s) shall be by LaBrunerie Financial Services, Inc. jointly with rights of survivorship. Each joint tenant irrevocably appoints the other as attorney-in-fact to take all action on the others behalf and to make all representations in all respects in connection with this Agreement.
3. Communications may be sent to me (us) at the address on the reverse side of this document or at any other address I (we) may hereafter give you in writing. All communications so sent whether by mail, email, scan copy, voicemail, telegraph, messenger, or otherwise shall be deemed given to me (us) whether actually received or not. Confirmations of transactions and account statements shall be conclusive if not objected to in writing within (5) days and ten (10) days respectfully after transmitted to me (us) by mail or otherwise.
4. LaBrunerie Financial Services, Inc. shall not be liable to me (us) for any losses caused directly or indirectly by war, natural disasters, government restrictions, securities exchange or market rulings or other conditions beyond LaBrunerie Financial Service's control, including but not limited to extreme market volatility and trading volumes.
5. This Agreement and its enforcement shall be governed by the laws of the State of Missouri, to the extent Missouri law does not conflict with the provisions of the Federal Arbitration Act (9 U.S.C. §1, et. Seq.), shall cover collectively all accounts which I (we) may open or reopen with LaBrunerie Financial Services, Inc. and Alexander LaBrunerie & Co. Inc. and shall inure to the benefits of LaBrunerie Financial Services, Inc.'s and Alexander LaBrunerie & Co, Inc.'s successors, whether by merger, consolidation, or otherwise and assigns, and LaBrunerie Financial Services, Inc. and Alexander LaBrunerie & Co, Inc. may transfer the account(s) to said successors or assigns. This Agreement shall be binding upon my (our) heirs, executors, administrators, successors and assigns.

**LABRUNERIE FINANCIAL SERVICES, INC.  
ALEXANDER LABRUNERIE & COMPANY, INC.  
PRE-DISPUTE ARBITRATION AGREEMENT**

This agreement contains a provision, which requires that all claims arising between the parties in respect to this Agreement shall be resolved through arbitration. Client is aware that:

- (A) 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.
- (B) Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.
- (C) The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.
- (D) The arbitrators do not have to explain the reason(s) for their award.
- (E) The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
- (F) 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.
- (G) The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

I (we) agree that all controversies that may arise between us concerning any transaction or the continuation performance or breach of this or any other agreement between us, whether entered into before, on, or after the date this account is opened, shall be determined by arbitration before a panel of independent arbitrators set up by the Financial Industry Regulatory Authority (FINRA). I (we) may also designate the American Arbitration Association or any other industry forum only to the extent expressly provided as an alternative under the securities laws of my state of residence. If I (we) do not notify you in writing within five (5) days after I (we) receive from you a demand for arbitration, then I (we) authorize you to make such designation on my (our) behalf. I (we) understand that judgment upon any arbitration award may be entered in any court of competent jurisdiction. I (we) are aware of the following:

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; WHO IS A MEMBER OF THE PUTATIVE CLASS 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;
- (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.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Witnessed by:

\_\_\_\_\_  
Signature