



30-50 Whitestone Expressway
 Ste. A301, Flushing, NY 11354
 Client Services: (800) 869-8800
 From Overseas: (718) 961-6600

BRANCH-ACCOUNT NUMBER
REGISTERED REP CODE

ACCOUNT UPDATE FORM - ENTITY

Please only complete those sections needing to be updated and leave sections not requiring updating blank. Please submit this form to AccountMaintenance@apexclearing.com for processing.

BENEFICIAL OWNERS	HAS THE BENEFICIAL OWNERS OR CONTROL PERSONS CHANGED FOR THE LEGAL ENTITY CUSTOMER? <input type="checkbox"/> YES <input type="checkbox"/> No If Yes, Please update the EXHIBIT – ENTITY CERTIFICATION REGARDING BENEFICIAL OWNERS OF LEGAL ENTITY CUSTOMERS on page 2.			
	ACCOUNT INFORMATION			
ACCOUNT NAME				
BUSINESS ADDRESS		CITY	STATE	ZIP CODE
BUSINESS TELEPHONE NO.		MAIL TO (Check One)		U.S. ENTITY
FAX NO.		<input type="checkbox"/> Mailing <input type="checkbox"/> Business <input type="checkbox"/> P.O. Box		<input type="checkbox"/> YES <input type="checkbox"/> NO
MAILING ADDRESS (If Different than Business Address)		CITY	STATE	ZIP CODE
ATTENTION:				
AUTHORIZED SIGNOR		EMAIL ADDRESS		
DATE OF BIRTH	SOCIAL SECURITY NO.	U.S. CITIZEN <input type="checkbox"/> YES <input type="checkbox"/> No	IF NO, WHAT COUNTRY	
SUITABILITY INFORMATION	TIME HORIZON (The number of years planned to achieve a particular financial goal)		LIQUIDITY NEEDS (The ability to quickly and easily convert all or a portion of the account assets into cash without experiencing significant loss)	
	<input type="checkbox"/> Short (Less than 3 Years) (01) <input type="checkbox"/> Long (8 Years+) (03) <input type="checkbox"/> Average (4-7 Years) (02)		<input type="checkbox"/> Very Important (01) <input type="checkbox"/> Not Important (03) <input type="checkbox"/> Somewhat Important (02)	
INVESTMENT PROFILE	INVESTMENT OBJECTIVE	INVESTMENT EXPERIENCE	ANNUAL INCOME (From all sources)	
	<input type="checkbox"/> Capital Preservation (05) <input type="checkbox"/> Income (04) <input type="checkbox"/> Growth (03) <input type="checkbox"/> Speculation (02) <input type="checkbox"/> Other (08)	<input type="checkbox"/> None (00) <input type="checkbox"/> Limited (01) <input type="checkbox"/> Good (02) <input type="checkbox"/> Extensive (03)	<input type="checkbox"/> Under \$25,000 (01) <input type="checkbox"/> \$25,001 to \$50,000 (02) <input type="checkbox"/> \$50,001 to \$100,000 (03) <input type="checkbox"/> \$100,001 to \$200,000 (23)	<input type="checkbox"/> \$200,001 to \$300,000 (24) <input type="checkbox"/> \$300,001 to \$500,000 (25) <input type="checkbox"/> \$500,001 to \$1,200,001 (26) <input type="checkbox"/> Over \$1,200,001 (27)
	LIQUID NET WORTH (Cash & Liquid Investments only)	TOTAL NET WORTH (Excluding Residence)	RISK TOLERANCE	
	<input type="checkbox"/> Under \$50,000 (01) <input type="checkbox"/> \$50,001 to \$100,000 (02) <input type="checkbox"/> \$100,001 to \$200,000 (22) <input type="checkbox"/> \$200,001 to \$500,000 (23) <input type="checkbox"/> \$500,001 to \$1,000,000 (24) <input type="checkbox"/> \$1,000,001 to \$5,000,000 (25) <input type="checkbox"/> Over \$5,000,001 (26)	<input type="checkbox"/> Under \$50,000 (01) <input type="checkbox"/> \$50,001 to \$100,000 (02) <input type="checkbox"/> \$100,001 to \$200,000 (22) <input type="checkbox"/> \$200,001 to \$500,000 (23) <input type="checkbox"/> \$500,001 to \$1,000,000 (24) <input type="checkbox"/> \$1,000,001 to \$5,000,000 (25) <input type="checkbox"/> Over \$5,000,001 (26)	<input type="checkbox"/> Low (01) <input type="checkbox"/> Medium (02) <input type="checkbox"/> High (03) Tax Bracket: _____ %	

SIGNATURES	I, _____ (name of natural person updating the account), hereby certify, to the best of my knowledge, that the information provided above is complete and correct. I understand and agree the existing account agreement used to open my account shall continue to govern.	
	SIGNATURE ⇒	DATE
FOR OFFICE USE ONLY	I, _____, hereby certify, to the best of my knowledge, that the information provided above is complete and correct.	
	SIGNATURE ⇒	DATE