



LEVEL FOUR

Advisory Services

A DIVISION OF
LEVEL FOUR GROUP, LLC

LFAS204

Form #

Branch #

Account #

FA #

CUSTOMER ACCOUNT INFORMATION (*for use with accounts not custodied at Raymond James)

Please select the custodian: Charles Schwab Fidelity Other _____ (please list)

If customer is a Corporation, LLC or Entity, please provide a copy of the formation documents where indicated, a valid State or Federal Identification and authorized signer documentation.

If Customer is NOT an individual, enter entity's authorized representative _____

Individual Customer/Entity

2nd Individual, if Joint Registration

Customer Name

Relationship, if Joint Registration

SS# or Tax ID #

(or enter N/A if not applicable)

Birth Date

DL #

Address

City/State/Zip

Phone

Fax

Email

Occupation

Position

Employer's Name

Address

Tax Bracket:

0-15% 16-28% 29-35% 36%+

Is the Customer, the joint owner, or any member of the customer's immediate family affiliated with or employed by a member of a stock exchange or FINRA? Yes No

If yes, explain: _____

Is customer associated with a Registered Investment Advisor? Yes No

If yes, who? _____

INVESTMENT EXPERIENCE

How many years of investment experience do you have? _____

What Investments do you have experience with?

- | | | | |
|--|--|--|---|
| <input type="checkbox"/> Equities/Stocks | <input type="checkbox"/> Mutual Funds | <input type="checkbox"/> Corporate Bonds | <input type="checkbox"/> Insurance Products |
| <input type="checkbox"/> Municipal Bonds | <input type="checkbox"/> Real Estate | <input type="checkbox"/> Real Estate Investment Trusts | <input type="checkbox"/> Options |
| <input type="checkbox"/> Commodities | <input type="checkbox"/> Private Placements* | <input type="checkbox"/> Alternative Investments* | <input type="checkbox"/> Other** |

*If any, what % of your total investments is in Private Placements and/or Alternative Investments? _____

**If Other, please explain _____

INVESTOR QUALIFICATIONS

I - Income: Provide your Adjusted Gross Income per latest 2 years Federal Income Tax Return:

- \$0-\$200,000 \$200,001-\$300,000 \$300,001-\$500,000 \$500,001-999,999 \$1,000,000+

Gross Income provided above represents: Individual Joint

Do you reasonably expect to maintain this same level of income in the current year? Yes No

II - Net Worth: Provide your Net Worth

(exclusive of primary residence and other non-liquid investments) _____

III - Liquidity: Please indicate the dollar value of assets requested below

Marketable securities, cash & cash equivalents _____

% of Annual Income considered to be discretionary funds _____

INVESTMENT PROFILES

Account # _____ Account Registration Individual Joint IRA Corp/LLC Other _____

Primary Source of Funds

- Investments Savings Salary ERISA (Employer Plan) IRA Other

If other, please describe _____

Do you have a specific time frame in which you would need invested funds available to you?

- Less than 1 year 1-3 years 3-6 years 6-10 years More than 10 years

Which below defines your liquidity needs?

- Not Important Somewhat Important Very Important

Which defines your investment strategy?

- Buy and Hold Frequent Trading

Account # _____ Account Registration Individual Joint IRA Corp/LLC Other _____

Primary Source of Funds

- Investments Savings Salary ERISA (Employer Plan) IRA Other

If other, please describe _____

Do you have a specific time frame in which you would need invested funds available to you?

- Less than 1 year 1-3 years 3-6 years 6-10 years More than 10 years

Which below defines your liquidity needs?

- Not Important Somewhat Important Very Important

Which defines your investment strategy?

- Buy and Hold Frequent Trading

Account # _____ Account Registration Individual Joint IRA Corp/LLC Other _____

Primary Source of Funds

- Investments Savings Salary ERISA (Employer Plan) IRA Other

If other, please describe _____

Do you have a specific time frame in which you would need invested funds available to you?

- Less than 1 year 1-3 years 3-6 years 6-10 years More than 10 years

Which below defines your liquidity needs?

- Not Important Somewhat Important Very Important

Which defines your investment strategy?

- Buy and Hold Frequent Trading

Account # _____ Account Registration Individual Joint IRA Corp/LLC Other _____

Primary Source of Funds

- Investments Savings Salary ERISA (Employer Plan) IRA Other

If other, please describe _____

Do you have a specific time frame in which you would need invested funds available to you?

- Less than 1 year 1-3 years 3-6 years 6-10 years More than 10 years

Which below defines your liquidity needs?

- Not Important Somewhat Important Very Important

Which defines your investment strategy?

- Buy and Hold Frequent Trading

CUSTOMER CERTIFICATION

I certify that the above customer information provided in this Level Four Customer Account Information Form is true, correct, and complete.

CUSTOMER SIGNATURE
(OR AUTHORIZED REPRESENTATIVE, IF APPLICABLE)

CUSTOMER SIGNATURE
(OR AUTHORIZED REPRESENTATIVE, IF APPLICABLE)

CUSTOMER PRINTED NAME

CUSTOMER PRINTED NAME

DATE

DATE

ADVISOR SIGNATURE

DATE

BRANCH MANAGER/PRINCIPAL SIGNATURE

DATE

Level Four Group, LLC is a division of CRI Capital Group, LLC, a subsidiary of CRI Advisors, LLC. "CRI" is the brand name under which Carr, Riggs & Ingram, L.L.C. ("CPA Firm") and CRI Advisors, LLC ("Advisors") and its subsidiary entities provide professional services. CPA Firm and Advisors (and its subsidiary entities) practice as an alternative practice structure in accordance with the AICPA Code of Professional Conduct and applicable law, regulations and professional standards. CPA Firm is a licensed independent CPA firm that provides attest services to its clients, and Advisors and its subsidiary entities provide tax and business consulting services to their clients. Advisors and its subsidiary entities are not licensed CPA firms.