

Etech Securities, Inc.

**New Account Application**

Account No: \_\_\_\_\_

Original Filing: \_\_\_\_\_

Please Note: An asterix (\*) indicates required client information

Office: \_\_\_\_\_

Update Filing: \_\_\_\_\_

**Account Holder Information:** (Use a separate form for independent personal)

RR: \_\_\_\_\_

No	*Full Name (Initial only Unacceptable) ( Last, First & Middle )	*Marital Status and Relation	*Social Security or Tax ID#	*Driver's license or Passport #	*Date of Birth (mm/dd/yyyy)	*Citizenship: Code or Country	*Empl'd By B/D?	*Trading Authority	*Employment Position
N1		M S D W n/a				US RA NRA n/a	Yes No	Yes No	
N2		M S D W n/a				US RA NRA n/a	Yes No	Yes No	
N3		M S D W n/a				US RA NRA n/a	Yes No	Yes No	
N4		M S D W n/a				US RA NRA n/a	Yes No	Yes No	

**Contact Information:**

**\*Name & Email address:**

AID	*Mailing Address	*Address Type	Street	*Address (Residential address: P. O. Box Unacceptable) City	Zip-code	*Phone No.	*Name of Employer or Business
A1		Resid'l					
A2		Empl'r					
A3							
A4							

**Financial Background:**

*Annual Income (Select one)	Net Worth exclude Home	Liquid Net Worth	*Tax Related Information	Current Savings or Investments	*Investment Experience
A \$0 - \$24,999	A \$0 - \$24,999	A \$0 - \$24,999	Home Owner?: ( Yes, No )	( ) Savings: \$ _____	Stocks Bonds Options M/Funds D/Trading Others
B \$25,000 - \$49,999	B \$25,000 - \$49,999	B \$25,000 - \$49,999	Married Jointly, Married Separately. Single, Head of Household	( ) Life Insurance: \$ _____	Years _____
C \$50,000 - \$99,999	C \$50,000 - \$99,999	C \$50,000 - \$99,999		( ) IRA/SEP: \$ _____	Amnt _____
D \$100,000 - \$174,999	D \$100,000 - \$249,999	D \$100,000 - \$249,999	# of Dependents: _____	Pension: \$ _____	Specify Others: _____
E \$175,000 - \$249,999	E \$250,000 - \$499,999	E \$250,000 - \$499,999		( ) Securities: \$ _____	*Do you have investment account(s) with other Company? ( yes no ) If Yes, describe it and collect information required:
F \$250,000 - \$499,999	F \$500,000 - \$1.0 mill	F \$500,000 - \$1.0 mill	( ) Real Estate: \$ _____		
G \$500,000 over (\$ _____)	G \$1.0 mill over (\$ _____)	G \$1.0 mill over (\$ _____)	Home \$ _____		
*Principal Source of Income:				*Credit References: (Bank)	
*Principal Source of Net Worth:				(Broker or Others)	

**Investment & Account Information:**

How was account acquired?	*Risk Tolerance	*Investment Objectives	*Account Category: ( ) Cash ( ) Margin ( ) Option ( ) Short ( ) Other:	
( ) Known Personally _____ yrs	( ) Investment Grade	( ) Income ( ) Tax Free Interest Income	( ) Individual ( ) Joint Account with Rights of Survivorship ( ) Investment Club	
( ) Walk-in	( ) Good Quality	( ) Long Term Growth with Safety ( ) Speculative	( ) IRA/SEP ( ) Tenants in Common ( ) Community Property ( ) Partnership	
( ) Referred by:	( ) Speculative	( ) Long Term Growth with Risk ( ) No Objective Specified	( ) Corporate ( ) Custodial for Minor ( ) Trust ( ) Non-Profit/Charitable/Religious	
( ) Others	( ) High Risk	( ) Short Term Growth with High Risk	( ) Foreign ( ) Partnership ( ) Estate ( ) Others:	
*Investment Products:	*Initial Transaction:	*Are you or have you or a member of your immediate family ever been a Company employee, or a corporate officer, director, or owner of 10% of securities in any public corporation? ( yes no )	*Is this account for a foreign bank? ( yes no )	*Instructions:
( ) Stocks ( ) Bonds	( Buy Sell ) \$ _____		If yes, list agent for service of process:	Securities ( ) Hold St. Name ( ) Transfer & Ship
( ) Option ( ) Mut. Fd	Initial Deposit \$ _____			Money ( ) Hold ( ) Pay
( ) Others:				Dividends ( ) Hold ( ) Pay



