

Checklist for Account Set-up

Company Name: _____

A. Due Diligence Questions:

- Please state the nature of your business:

- What is the primary geographic market area where you conduct business? _____
- Please provide your Taxpayer Identification Number: _____
- Please provide the following documents:
 - Certified Articles of Incorporation
 - Investment management agreements and Manager contact information
- Are there third party deposits into or withdrawals from the account (e.g., checks, wire transfers, etc.)? Yes or No NO
- Will the account be sending wire transfers to and/or receiving wires from a foreign entity? Yes or No NO
- Where will the funds be coming from? N/A

B. Account Set-Up Questions:

- Cash Accounting
 - _____ Dual Accounting (principal and income cash separated)
 - X Single Accounting (principal and income cash combined)
- Statement (Please indicate who should receive optional paper statements – statements are available on line)
Name: _____
Address: _____

How Often: _____ Monthly _____ Quarterly _____ Annually

Name: _____

Address: _____

How Often: ___ Monthly ___ Quarterly ___ Annually

Are taxlots required for the securities held? If so, then a write down method must be selected. (Default is taxlots and FIFO) YES

Write-down Method: FIFO (i.e., Average, FIFO, LIFO, etc.)

Would you like Amortization & Accretion processing? YES
Current yield or Straight line _____

Would you like access to our on-line system to access your account information? YES

Please provide any special reporting requirements

 Tax Year End 12/31

If assets are transferring in whose cost are we to use? Asset managers or Client provided?

Please provide the following information for the main contact (individual who will handle day to day issues).

Name: _____

Phone Number: _____

Fax Number: _____

Email address: _____

Please provide a Point Person and address of the person to handle proxies for each appropriate account. (If applicable)

PROXY TRUST THROUGH FINANCIAL FIDUCIARIES

Signed:

By: _____

Date: _____