

Account Certifications Form

Use this form after a new account has been opened if your client will not be electronically signing our account opening documents.

Instructions

1. All account owners must sign the Client Account Certifications page after reviewing the Customer Agreement. In the case of corporate entities, the authorized representative on behalf of the corporate entity must sign the Corporate Account Certifications page after reviewing the Customer Agreement.
 - The Customer Agreement is available on our website, www.folioinstitutional.com.
2. Advisors or their clients should complete the remaining information on the applicable signature page.
3. Send us the completed and signed form:

Scan and Email

support@folioinstitutional.com

Fax

703-649-6288

U.S. Mail

Folio Institutional
8180 Greensboro Drive, 8th Floor
McLean, VA 22102

We suggest you ask your client to:

- Copy and send the signature page to you
- Send us a check to fund this account, made payable to Folio Investments, Inc.

If you need assistance, call us at **1-888-485-3456**.

Client Account Certifications

Use this page to gather required signatures for Individual, Joint, IRA, Revocable Trust, and Custodial (UTMA/UGMA) accounts.

PART 1: Advisor Information

| | | | |
|----------------------------|------------|----------------|-----------|
| Advisor Name | First Name | Middle Initial | Last Name |
| Advisor's Firm Name | | | |

PART 2: Account Owner Information

| | | |
|---|--------------|--|
| Account Owner | Name | Social Security Number (SSN)/Tax Identification Number (TIN) |
| | | - - |
| Co-Account Owner | Name | Social Security Number (SSN)/Tax Identification Number (TIN) |
| | | - - |
| Folio Institutional Account Number | Account Name | |

PART 3: Account Owner Signatures

I certify, under penalty of perjury, that

- The TIN on this application is the account owner's true TIN and the Primary Account Owner is a U.S. person. Visit our website at www.folioinstitutional.com to see how we define a U.S. person.
- The Primary Account Owner listed above is not subject to backup withholding as a result of failure to report all interest and dividends, or the Internal Revenue Service (IRS) has notified them they are no longer subject to backup withholding.
Check here ONLY if subject to backup withholding.
- The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.
- I, as the account owner or as an authorized person signing on behalf of the account owner, have read, understand, and I acknowledge I have received, read, and agree to the terms and conditions set forth in the Customer Agreement, which can be found online at www.folioinstitutional.com.
- I agree that Folio does not recommend any securities or investments.

If you are an exempt payee, enter your exempt payee code(s), if any, here _____

If you are exempt from FATCA reporting, enter your exemption from FATCA reporting code(s) here _____

If you are unsure of either of these codes, see the IRS Instructions for Form W-9. We will provide these instructions upon request.

The Customer Agreement you agree to, by signing your name below, contains a pre-dispute arbitration clause located in the Arbitration section on page 7.

The IRS does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

| | | |
|--|----------|-------------------|
| Account Owner/ Custodian | X | Date (mm/dd/yyyy) |
| | | / / |
| Additional Account Owner/Co-Custodian | X | Date (mm/dd/yyyy) |
| | | / / |

* Note: All account owners must sign.

Part 4: IRA Beneficiary Spousal Waiver

Complete this section ONLY if you are a married resident of a community property state (Arizona, California, Idaho, Louisiana, Nevada, New Mexico, Texas, Washington, or Wisconsin) and are not naming your spouse as 100% primary beneficiary.

By signing below I certify the following: I am the spouse of the above-named account owner. I acknowledge that I have received a fair and reasonable disclosure of my spouse's property and financial obligations. Due to the important tax consequences of giving up my interest in this account, I have been advised to see a tax professional. I hereby give the account owner any interest I have in the funds or properties deposited in this account and consent to the beneficiary designation indicated above. I assume full responsibility for any adverse consequences that may result. No tax or legal advice was given to me by Folio.

By signing below I accept the beneficiary designations for the account listed on this form.

| | | |
|-------------------------|-------------|-------------------|
| Spouse Signature | Spouse Name | Date (mm/dd/yyyy) |
| | X | / / |

* Additional account owners can sign on the back of this form.

Corporate Account Certifications

Use this page to gather required signatures for Corporate, Partnership, LLC, Sole Proprietorship, Investment Club, Business Trust, and Unincorporated Organization accounts.

PART 1: Advisor Information

| | | | |
|----------------------------|------------|----------------|-----------|
| Advisor Name | First Name | Middle Initial | Last Name |
| Advisor's Firm Name | | | |

PART 2: Entity Information

| | | | |
|----------------|-------------------|---|------------------|
| Account | Account Name | Folio Institutional Account Number | |
| Entity | Entity First Name | Middle Initial | Entity Last Name |
| | Entity TIN - - | Entity is incorporated, organized, or formed under the laws of which state? | |

| Authorized Representative | | Additional Authorized Representative | | Additional Authorized Representative | |
|---------------------------|----------------|--------------------------------------|----------------|--------------------------------------|----------------|
| First Name | Middle Initial | First Name | Middle Initial | First Name | Middle Initial |
| Last Name | | Last Name | | Last Name | |
| SSN/TIN - - | | SSN/TIN - - | | SSN/TIN - - | |

PART 3: Authorized Representative Certification and Signature

I certify, under penalty of perjury, that:

- The TIN on this application is the account owner's true TIN and the Primary Account Owner is a U.S. person. Visit our website at www.folioinstitutional.com to see how we define a U.S. person.
- The Entity listed above is not subject to backup withholding as a result of failure to report all interest and dividends, or the Internal Revenue Service (IRS) has notified them they are no longer subject to backup withholding.
Check here ONLY is subject to backup withholding.
- On behalf of the Entity listed above, I acknowledge I have received, read, and agree to the terms and conditions conditions set forth in the Customer Agreement, which can be found online at www.folioinstitutional.com.
- I agree that Folio does not recommend any securities or investments.
- I am authorized to: (i) act on behalf of the Entity listed above; (ii) open an account at Folio Institutional for the Entity listed above; and (iii) designate the additional authorized representatives listed above as authorized to act on this account.

The Customer Agreement you agree to, by signing your name below, contains a pre-dispute arbitration clause located in the Arbitration section on page 7.

The IRS does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

| | | |
|----------------------------------|----------|--------------------------|
| Authorized Representative | X | Date (mm/dd/yyyy) / / |
|----------------------------------|----------|--------------------------|