



**LIMITED PURPOSE ACCOUNT CLIENT QUESTIONNAIRE**

**PRIMARY PARTICIPANT INFORMATION**

\*FULL NAME: \_\_\_\_\_ CITIZENSHIP: \_\_\_\_\_ SSN/TIN: \_\_\_\_\_

\*LEGAL ADDRESS: \_\_\_\_\_

\*MAILING ADDRESS: \_\_\_\_\_  
(if different from legal address)

EMAIL ADDRESS: \_\_\_\_\_

HOME PHONE: \_\_\_\_\_ \*DATE OF BIRTH: \_\_\_\_\_

\*EMPLOYMENT STATUS: \_\_\_Employed \_\_\_Homemaker \_\_\_Retired \_\_\_Self employed \_\_\_Student \_\_\_Unemployed

\*OCCUPATION: \_\_\_\_\_ \*EMPLOYER: \_\_\_\_\_

\*WORK PHONE: \_\_\_\_\_

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The purpose of this form is to obtain information required for opening and maintaining an account with Maxim Group LLC ("Maxim").

Prospective Client Signature: \_\_\_\_\_ DATE: \_\_\_\_\_

Prospective Joint Applicant Signature: \_\_\_\_\_ DATE: \_\_\_\_\_

<sup>1</sup> A Limited Purpose Account is utilized for the purpose of managing an employee's equity compensation. The account will not be used as an investment account and instead is used to process benefits granted under a compensation plan or ESPP plan.

