

Investor Profile - Advisory



- This form is used to document the investor profile of customers who intend to engage in investment products offered directly by a sponsor or issuer. If the customer intends to purchase such investments products on a brokerage basis through Coastal Equities, Inc., please use the Investor Profile – Brokerage Form for Coastal Equities, Inc. If the customer opens a brokerage account through Coastal Equities, Inc. or another custodian, this information must be updated in the brokerage/custodial account prior to submission.
- A fully executed and accepted advisory agreement with Coastal Investment Advisors, Inc. is required.
- Additional documentation may be required to open these types of accounts. Contact your financial professional for more information.

STEP 1. ACCOUNT REGISTRATION

RR Name RR No.

Customer Names(s) Account No.

Retirement Retail
 (Skip to Step 2)

**Additional Documentation may be required to open these types of accounts.
 Contact your Financial Professional for more information.**

TYPE OF ACCOUNT	ADDITIONAL DESIGNATION
<input type="checkbox"/> Individual	
<input type="checkbox"/> Corporation	<input type="checkbox"/> C Corp <input type="checkbox"/> S Corp
<input type="checkbox"/> Corporate Pension/ Profit Sharing	
<input type="checkbox"/> Custodial	<input type="checkbox"/> UGMA <input type="checkbox"/> UTMA Complete Custodian Section
<input type="checkbox"/> Estate	
<input type="checkbox"/> Joint Tenant	Complete Joint Accounts Section
<input type="checkbox"/> Limited Liability/ Company	<input type="checkbox"/> C Corp <input type="checkbox"/> S Corp <input type="checkbox"/> Partnership
<input type="checkbox"/> Individual Single Member LLC	
<input type="checkbox"/> Sole Proprietorship	
<input type="checkbox"/> Transfer on Death Individual	Agreement Date:
<input type="checkbox"/> Transfer on Death Joint	Agreement Date:

TYPE OF ACCOUNT	ADDITIONAL DESIGNATION
<input type="checkbox"/> Trust	Establishment Date:
	Trust Type: <input type="checkbox"/> Charitable <input type="checkbox"/> Living <input type="checkbox"/> Irrevocable Living <input type="checkbox"/> Family <input type="checkbox"/> Revocable <input type="checkbox"/> Irrevocable <input type="checkbox"/> Testamentary
<input type="checkbox"/> Nonprofit Organization	
<input type="checkbox"/> Partnership	
<input type="checkbox"/> Exempt Organization	
<input type="checkbox"/> Other	

For Joint Accounts Only

Are the account holders married to each other? <input type="checkbox"/> Yes <input type="checkbox"/> No	Tenancy State	Number of Tenants
Tenancy Clause		
<input type="checkbox"/> Community Property <input type="checkbox"/> Tenants by Entirety	<input type="checkbox"/> Community Property with Rights of Survivorship <input type="checkbox"/> Joint Tenants with Rights of Survivorship	<input type="checkbox"/> Tenants in Common

For Custodial Accounts Only

State in Which Gift was Given	Date Gift Was Given	
Age Designated to Terminate	Minor's Date of Birth	

Account Name:

STEP 2. USA PATRIOT ACT INFORMATION

What is the initial source of funds for this account? If you are transferring assets from another financial institution, please indicate the origin of those investments.

- Accounts Receivable Accumulated Savings Alimony Gift
- Income From Earnings Inheritance Insurance Proceeds Investment Proceeds
- Legal Settlement Lottery/Gaming Pension/IRA/Retirement Savings Sale of Real Estate
- Spouse/Parent Rental Income Sale of Business Other _____

STEP 3. PRIMARY ACCOUNT HOLDER INFORMATION (Trust or Entity Name)

Name		
<input type="checkbox"/> Person <input type="checkbox"/> Entity		
Social Security (SSN)	Employee Identification Number (EIN)	
	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Email	Date of Birth	Specified Adult
Home Phone	Business Phone	Mobile Phone
Legal Address (no P.O. Box)		
City	State/Province	Zip/Postal code
Country		
Mailing Address (if different from legal address)		
City	State/Province	Zip/Postal code
Country		
Primary Citizenship(s)		Additional Citizenship(s)

Gender

- Male Female

Marital Status

- Single Married Divorced Domestic Partner Widow(er)

Employment and Industry Affiliations

- Employed Self-Employed Retired Unemployed Student

Occupation			Years Employed	Type of Business
Employer Name				
Employer's Address				
City	State/Province	Zip/Postal Code		
Country				

General Investment Knowledge and Experience

- Limited Moderate Extensive None

Knowledge and Experience by Investment Type

Investment	Investment Knowledge				Investment Experience
Commodities, Futures	Limited	Moderate	Extensive	None	Since Year:
Equities	Limited	Moderate	Extensive	None	Since Year:
Exchange Traded Funds	Limited	Moderate	Extensive	None	Since Year:
Fixed Annuities	Limited	Moderate	Extensive	None	Since Year:

Account Name:

STEP 4. SECONDARY ACCOUNT HOLDER INFORMATION (Trustee #1, Managing Member)

Name		
<input type="checkbox"/> Person <input type="checkbox"/> Entity		
Social Security (SSN)	Employee Identification Number (EIN)	
<input type="checkbox"/> Yes <input type="checkbox"/> No		
Email	Date of Birth	Specified Adult
Home Phone	Business Phone	Mobile Phone
Legal Address (no P.O. Box)		
City	State/Province	Zip/Postal Code
Country		
Mailing Address (if different from legal address)		
City	State/Province	Zip/Postal Code
Country		

Primary Citizenship(s)

Gender

Male Female

Marital Status

Single Married Divorced Domestic Partner Widowed

Employment and Industry Affiliations

Employed Self-Employed Retired Unemployed Homemaker Student

Occupation	Years Employed	Type of Business
Employer Name		
Employer Address		

City State/Province Zip/Postal code

General Investment Knowledge and Experience

Limited Moderate Extensive None

Knowledge and Experience by Investment Type

Investment	Investment Knowledge				Investment Experience
Commodities, Futures	Limited	Moderate	Extensive	None	Since Year:
Equities	Limited	Moderate	Extensive	None	Since Year:
Exchange Traded Funds	Limited	Moderate	Extensive	None	Since Year:
Fixed Annuities	Limited	Moderate	Extensive	None	Since Year:
Fixed Insurance	Limited	Moderate	Extensive	None	Since Year:
Mutual Funds	Limited	Moderate	Extensive	None	Since Year:
Options	Limited	Moderate	Extensive	None	Since Year:
Precious Metals	Limited	Moderate	Extensive	None	Since Year:
Real Estate	Limited	Moderate	Extensive	None	Since Year:
Unit Investment Trusts	Limited	Moderate	Extensive	None	Since Year:
Variable Annuities	Limited	Moderate	Extensive	None	Since Year:
Leveraged/Inverse ETF's	Limited	Moderate	Extensive	None	Since Year:
Complex Products	Limited	Moderate	Extensive	None	Since Year:

STEP 5. OBJECTIVES AND INVESTMENT DETAIL

Risk Exposure: Low Moderate Speculation High Risk

Account Investment Objectives: Income Long-Term Growth Short-Term Growth

Other Investments: See Attached Statement of Financial Condition (if box is not selected, please complete the below)

Investment	Investment Value	Investment	Investment Value
Equities	Value \$	Fixed Annuities	Value \$
Options	Value \$	Precious Metals	Value \$
Fixed Income	Value \$	Commodities/Futures	Value \$
Mutual Funds	Value \$	Other	Value \$
Unit Investment Trusts	Value \$	Other	Value \$
Exchange-Traded Funds	Value \$	Other	Value \$
Real Estate	Value \$		
Insurance	Value \$		
Variable Annuities	Value \$		

Investment Time Horizon and Liquidity Needs

Time Horizon	Liquidity Needs
--	<input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low

STEP 6. TRUSTED CONTACT

Name			<input type="checkbox"/> I/We Decline to Provide If you provide a trusted contact, you authorize us to contact the Trusted Contact and to disclose to the Trusted Contact information about your account to address possible financial exploitation, to confirm the specifics of your current contact information, health status, or the identity of any legal guardian, executor, trustee or holder of a power of attorney.
Email			
Home Phone	Business Phone	Mobile Phone	
Mailing Address			
City	State/Province	Zip/Postal Code	
Country			

STEP 5. SIGNATURES

- I/We attest that the data above is accurate and complete, and I understand and agree that you may rely upon this information in making any investment or portfolio recommendation to me.
- I/we agree to report changes in my financial and personal circumstances to my financial professional in a timely fashion to assure my investor profile is accurate and complete.
- I/we affirm that I/we have received and reviewed the firm's Form CRS, Form ADV II, Retirement Investor Disclosure, Privacy Policy, and my advisors representative Form ADV IIB.

Taxpayer Certification – Under penalties of perjury, I certify that.

- The number show on this form in Step 3 is my correct Social Security Number or Taxpayer Identification Number
- I am a U.S. citizen or other U.S. Person (defined below)

Definition of a U.S. Person

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company or association created or organized in the United States or under the laws of the United States,
- An estate (other than a foreign estate),
- A domestic trust (as defined in regulations section 301.7701-7)

Account Owner Signature	Printed Name	Date
Joint Account Owner Signature	Printed Name	Date
Financial Professional Signature	Printed Name	Date
Supervisor / Principal Signature	Printed Name	Date

TO: COASTAL INVESTMENT ADVISORS, INC., AND ITS ASSIGNS

Agreement: General Terms and Conditions

Relationship In consideration of us servicing direct investments other than those offered through an established brokerage account under or advisement or management ("Direct Business"), you agree to the terms and conditions of this Agreement. There may be additional terms, disclosures or agreements which may be applicable to a particular feature, program, account, product or service provided under this Agreement.

Nature of Relationship We will provide investment advice concerning products from time to time that will execute by subscription, application, or otherwise in a direct business fashion. We will process your subscription or application as a service to you, but you will approve, and sign all required documents prior to our processing the order.

Conflicts with Other Brokerage and Advisory Account Agreements To the extent any terms herein conflict with the terms of any other agreements with Coastal or any other Custodian, the terms of this agreement shall control only the extent that such term(s) concern(s) Direct Business defined herein.

Effect of Signature By signing the Signature Section, you agree to this Agreement and any additional terms, agreements or disclosures we may provide you, which may be incorporated into this agreement for reference.

Authority and Ownership

Representations By signing this Agreement, You represent and warrant that You and any other individuals who sign on behalf of the named account holder have the authority to effect all transactions and other investments for the Account. If you sign this Agreement on behalf of another person or entity or as a guardian, executor, or trustee, you further represent that you have the authority to execute the Agreement on behalf of the other person or entity and that the other person or entity is duly authorized to conduct business in the jurisdiction from which it transacts business.

Additional Certifications You also certify that:

- you are of legal age to enter into contracts in the state where you live;
- no one has any interest in the Account unless such interest is shown in the title of the Account;
- you are not employed by a broker-dealer or other employer whose consent is required to open and maintain this Account by regulation or otherwise, unless such consent has been provided to us;
- you are not a director, 10% beneficial owner, policy making officer, or otherwise an "affiliate" (as defined in Rule 144 under the Securities Act of 1933) of a publicly traded company, unless you have so indicated to us; and
- you are not insolvent.

Agency You appoint us as your agent for the purpose of carrying out your instructions, including those relating to the purchase or sale of securities. You assume all investment risk with respect to such transactions. All transactions will be executed only on your order or the order of your authorized representative, except as provided by this Agreement or otherwise agreed to. As your agent, we are authorized to establish relationships with and to appoint and use sub-agents. You authorize us and our sub-agents to, among other things, maintain customer records; place and withdraw orders; and take other reasonable steps in connection with our duties. We may, at our sole discretion and without prior notice to you, refuse, cancel or restrict your orders.

No Liability We shall not be liable in connection with entering, executing, handling, selling, or purchasing securities or orders for your Account except for gross negligence or willful misconduct on our part.

Customer Identification Program Notice In order to help the government fight the funding of terrorism and money laundering activities, we are required under federal law to obtain, verify, and record information that identifies each person who opens an account with us. When you open an Account, we are required to collect information such as your name, date of birth, permanent physical address, and identification number (typically, your social security number or taxpayer identification number). You may also need to present your driver's license or other identifying documents. You authorize us to verify your identity, creditworthiness, and other information and to provide information about you and your Account to consumer and credit reporting agencies and collection agencies. You also authorize us to obtain copies of your consumer and credit reports, at our discretion, at any time. We may deny your application or order or refuse to provide you with certain services available under this Agreement in our sole discretion for any reason.

Joint Accounts If this is a joint account, unless we notify you otherwise and provide such documentation, as to you require, the Account(s) shall be held by us jointly with rights of survivorship (payable to either or the survivor of us). Each joint tenant irrevocably appoints the other as attorney-in-fact to take all action on his or her behalf and to represent him or her in all respects in connection with this agreement. You shall be fully protected in acting but shall not be required to act upon the instructions of either of us. Each shall be liable, jointly and individually, for any amounts due to you pursuant to this Agreement, whether incurred by both of us or not.

No Waiver Unless specifically permitted in this Agreement, no provision of this Agreement can be, nor will be deemed to be, waived, altered, modified, or amended unless agreed to in writing signed by us. Our failure to insist at any time upon strict compliance with any term contained in this Agreement, or any delay or failure on our part to exercise any power or right given to us in this Agreement, or a continued course of such conduct on our part, shall at no time operate as a waiver of such power or right, nor shall any single or partial exercise preclude any further exercise.

No Liability We shall not be liable in connection with entering, executing, handling, selling, or purchasing securities or orders for your Account except for gross negligence or willful misconduct on our part.

Severability If any condition or provision of this Agreement shall be held to be invalid or unenforceable by any court, or regulatory or self-regulatory agency or body, such invalidity or unenforceability shall affect only such condition or provision. The validity of the remaining provisions and conditions shall not be affected and this Agreement shall be carried out as though such invalid or unenforceable condition or provision were not contained herein.

Indemnification You (and each of you, if this is a Joint Account) will indemnify us, our employees, and agents and hold us, our employees, and agents harmless from any loss, damage, or liability arising out of any transaction in which we act, either directly or indirectly, or as your agent (or the agent of one of you), absent any willful or grossly negligent misconduct by us.

Definitions

Agreement This agreement, together with any supplemental agreements.

Account The relation created by this Agreement and all transactions executed on your behalf pursuant to the terms of this Agreement, and expressly excluding, collectively or individually, any brokerage or custodial account managed or under advisement by Coastal Advisors, Inc.

Affiliates Affiliate(s) means any entity that is controlled by, controls or under common control with the Broker. Each Affiliate is a separate legal entity, none of which is responsible for the obligations of the other.

Clearing Broker A broker-dealer that carries your Account under a fully-disclosed clearing arrangement with a broker under which Clearing Broker holds the funds and securities in your Account, clears and settles your transactions and, if applicable, extends margin credit for the purchase and sale of securities.

Custodian A broker-dealer, bank, or trust company which holds your assets, including securities and cash.

Business Day Monday through Friday, excluding New York Stock Exchange holidays.

"Direct Business" A securities transaction recommended and serviced by Us between on Your behalf, other than a transaction executed by a Clearing Broker or Custodian. Custody of such a securities investment by Clearing Broker or Custodian shall not exclude the transaction from this definition.

Securities or Other Property Money, securities, financial instruments, and commodities of every kind and nature, and related contracts and options, distributions, proceeds, products, and accessions of all property.

We, Our, Ours, and Us: The Advisor.

You, Yours, the Undersigned, and the Account Holder: The person(s) who sign the Signature Page(s) and enter into this Agreement with Broker.

Electronic Delivery Terms

You agree that account communications may be available in an electronic form.

Account communications will be available in portable document format (PDF). You affirm that you have installed a recent version of Adobe Acrobat reader or other software applications that enables you to view and print your account communications. You may print or save a copy of any of the account communications at any time. You may request a mailed copy of any of your account communications by contacting your financial organization.