

ENTITY PROFILE & APPLICATION

The information gathered in this application helps us comply with various securities regulations and rules and the USA Patriot Act, a federal law that requires all securities firms to obtain, verify, and record information that identifies each applicant. This information also helps us fully understand the entity's investment profile and identify what types of investments or strategies may be suitable for the entity. Please note that if we cannot verify the information provided, we may be required to restrict or deny the account.

☐ **Advisory:** Complete one entity customer profile when establishing a relationship or opening additional accounts with Spire Wealth Management. This profile will remain valid for additional accounts for 12 months unless material changes have occurred.

☐ **Broker Dealer/ Direct Business:** Complete one Entity Customer Profile for each account that is established with Spire Securities. For Direct Business, a new Profile is required for every new sponsor/custodian account application.

Office Use Only Rep Code: _____ Custodian/Sponsor/Carrying Firm: _____

1. ABOUT THE ENTITY

ENTITY INFORMATION

☐ **Business** ☐ **Trust** ☐ **Qualified Retirement Plan**

Please provide documentation verifying the roles of all individuals listed in this profile. (For example corporate resolution, articles of incorporation, trust documents, etc.)

Legal Entity Name _____

State of Formation _____ Formation Date _____ Tax ID / EIN of Entity _____

Legal Address _____ Apt/Suite No. _____

City _____ State _____ Zip _____ Country _____

Primary Phone _____ Secondary Phone _____ Fax Number _____ Email _____

Mailing Address (If different from above) _____ Apt/Suite No. _____

City _____ State _____ Zip _____ Country _____

Note: By providing your email address here you are offering your consent to receive important notices and required regulatory disclosures electronically by email communication. Spire Investment Partners, LLC. will not utilize this email for marketing purposes and will safeguard your information in accordance with our Privacy Policy.

BENEFICIAL OWNERS (BUSINESSES ONLY)

List the names of the Beneficial Owners (Control Persons, and Entity Owners) for the entity as defined below. A fully completed Individual Client Profile is required on all Beneficial Owners. For all other persons listed below, proceed to Section 2 and complete the Authorized Agent Information.

DEFINITIONS

Beneficial Owner: Any individual owning 25% or more of the entity for domestic operating entities, and 10% or more of the entity for domestic non-operating and foreign entities.

Control Person: An individual person with significant responsibility for managing the entity. (Chief Executive Officer, Chief Financial Officer, Chief Operating Officer, Managing Member, General Partner, President, Vice President, Treasurer, or Corporate Trustee)

Name(s) of Individual(s) (Full Legal Name)	Beneficial Owner	Control Person
_____	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No
_____	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No
_____	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No
_____	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No
_____	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No

ENTITY PROFILE & APPLICATION (CONT.'D)

2. AUTHORIZED AGENT (PRIMARY)

AGENT INFORMATION

An individual authorized to sign documents on behalf of the entity. List all authorized individuals who will be eligible for the entity. **A fully completed Individual Client Profile is required on all TRUSTEES.**

Title First Name M.I. Last Name Suffix Date of Birth

Role with Entity (Include All) Social Security or Tax ID Number

Residential Address Apt/Suite No.

City State Zip Country

Primary Phone Secondary Phone Fax Number Email

Mailing Address (If different from above) Apt/Suite No.

City State Zip Country

Note: You must provide a copy of a valid, unexpired, government issued ID to the Adviser.

Industry & Other Affiliations for the Authorized Agent

<input type="radio"/> Yes <input type="radio"/> No	<p>Is the Agent associated with securities industry or a financial services regulator?</p> <p>If yes, please specify entity below.</p> <p>Name of Entity(ies): _____</p> <p><input type="radio"/> Broker/Dealer or Municipal Securities Dealer</p> <p><input type="radio"/> Registered Investment Adviser</p> <p><input type="radio"/> FINRA or other Self Regulatory Organization (including a national securities exchange, registered securities association, registered clearing agency, or the Municipal Securities Rulemaking Board)</p> <p>Note: If this entity requires its approval for you to open this account, please provide a copy of the requested authorization letter with the application</p>
<input type="radio"/> Yes <input type="radio"/> No	<p>Is the Agent a 10%, or more, shareholder in a publicly owned company?</p> <p>If yes, Name of Company and Symbol: _____</p>
<input type="radio"/> Yes <input type="radio"/> No	<p>Is the Agent a senior military, governmental, or political official?</p> <p>If yes, Name of Country: _____</p>

INVESTMENT KNOWLEDGE/ EXPERIENCE

We are collecting the information below to better understand your investment experience. We recognize your responses may change over time as you work with us. Please check the boxes that best describe your investment experience to date.

Product Type	None	Limited	Good	Extensive
Mutual Funds/ETFs	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Individual Stocks	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Bonds	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Options	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Futures	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Annuities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Alternative*	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

*May include structured products, hedge funds, etc.

ENTITY PROFILE & APPLICATION (CONT.'D)

3. AUTHORIZED AGENT (SECONDARY)

AGENT INFORMATION

An individual authorized to sign documents on behalf of the entity. List all authorized individuals who will be eligible for the entity. **A fully completed Individual Client Profile is required on all TRUSTEES.**

Title First Name M.I. Last Name Suffix Date of Birth

Role with Entity (Include All) Social Security or Tax ID Number

Residential Address Apt/Suite No.

City State Zip Country

Primary Phone Secondary Phone Fax Number Email

Mailing Address (If different from above) Apt/Suite No.

City State Zip Country

Note: You must provide a copy of a valid, unexpired, government issued ID to the Adviser.

Industry & Other Affiliations for the Authorized Agent

<input type="radio"/> Yes <input type="radio"/> No	<p>Is the Agent associated with securities industry or a financial services regulator?</p> <p>If yes, please specify entity below.</p> <p>Name of Entity(ies): _____</p> <p><input type="radio"/> Broker/Dealer or Municipal Securities Dealer</p> <p><input type="radio"/> Registered Investment Adviser</p> <p><input type="radio"/> FINRA or other Self Regulatory Organization (including a national securities exchange, registered securities association, registered clearing agency, or the Municipal Securities Rulemaking Board)</p> <p>Note: If this entity requires its approval for you to open this account, please provide a copy of the requested authorization letter with the application</p>
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Individual Stocks	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Bonds	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Options	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Futures	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Annuities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Alternative*	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

*May include structured products, hedge funds, etc.

4. FINANCIAL SITUATION OF THE ENTITY

DEFINITIONS

Annual Income: Income from all sources.

Net Worth: Is the value of assets minus your liabilities. For purposes of this application, assets include cash, stocks, bonds, mutual funds, other securities, bank accounts, and other property.

Liquid Net Worth: Net worth minus assets that cannot be converted quickly and easily into cash, such as real estate, business equity, assets earmarked for other purposes, and investments or accounts subject to substantial penalties if they were sold or if assets were withdrawn from them.

Annual Expenses: might include mortgage payments, rent, long-term debts, and utilities.

Special Expenses: might include one time expenses such as major purchases.

Annual Income

From All Sources

- ☐ \$0 - \$25,000
- ☐ \$25,001 - \$50,000
- ☐ \$50,001 - \$100,000
- ☐ \$100,001 - \$250,000
- ☐ \$250,001 - \$500,000
- ☐ Over \$500,000

Estimated Net Worth

Excluding Primary Residence

- ☐ \$0 - \$25,000
- ☐ \$25,001 - \$50,000
- ☐ \$50,001 - \$200,000
- ☐ \$200,001 - \$500,000
- ☐ \$500,001 - \$1,000,000
- ☐ \$1,000,001 - \$3,000,000
- ☐ Over \$3,000,000

Investable/Liquid Assets

Including Cash & Securities

- ☐ \$0 - \$25,000
- ☐ \$25,001 - \$50,000
- ☐ \$50,001 - \$200,000
- ☐ \$200,001 - \$500,000
- ☐ \$500,001 - \$1,000,000
- ☐ \$1,000,001 - \$3,000,000
- ☐ Over \$3,000,000

Federal Tax Bracket

- ☐ 0% - 20%
- ☐ 21% - 27.5%
- ☐ Over 27.5%

Recurring Annual Expenses

- ☐ \$25,000 and Under
- ☐ \$25,001 - \$50,000
- ☐ \$50,001 - \$100,000
- ☐ \$100,001 - \$250,000
- ☐ \$250,001 - \$500,000
- ☐ Over \$500,000

Special Expenses

- ☐ \$25,000 and Under
- ☐ \$25,001 - \$50,000
- ☐ \$50,001 - \$200,000
- ☐ \$200,001 - \$500,000
- ☐ \$500,001 - \$1,000,000
- ☐ \$1,000,001 - \$3,000,000
- ☐ Over \$3,000,000

Timeframe for Special Expenses

- ☐ Within 2 Years
- ☐ 3 - 5 Years
- ☐ 6 - 10 Years

5. INVESTMENT OBJECTIVES & RISK TOLERANCE OF THE ENTITY

Investing involves risk. Different investment products and strategies involve different degrees of risk. The higher the expected returns of a product or strategy, the greater the risk that you could lose most of your investment. Investments should be chosen based on your objectives, timeframe, and tolerance for market fluctuations.

TIME HORIZON	
	Please select the Time Horizon that best describes your attitude toward your investment time-frame.
<input type="radio"/> Short Term	With a short-term horizon, if a drop in the market occurs, the date on which the money will be needed will be too close for the portfolio to have enough time to recover from the market drop. To reduce the risk of loss holding funds in cash, cash-like vehicles, or conservative stable income generating positions, are likely the most suitable options. Short-term would typically indicate goals due between 1 to 5 years.
<input type="radio"/> Intermediate	Intermediate-term goals are those 5 to 10 years in the future. At this range, some exposure to stocks and bonds will help grow the initial investment's value, and the amount of time until the money must be spent is far enough in the future to permit a degree of volatility.
<input type="radio"/> Long Term	Long-term goals are those more than 10 years in the future. More conservative investors may cite 15 years as the time horizon for long-term goals.
<input type="radio"/> Legacy	Legacy goals involve planning where investments may pass from one generation to another. Investment objectives may be conservative or aggressive depending on the objective of the account (i.e., income, expenses, growth, etc.).

INVESTMENT OBJECTIVE	
	Based on your selected Time Horizon, which one of the following Investment Objectives best describes your attitude toward your investments.
<input type="radio"/> Preservation of Capital	A conservative investment strategy where the primary goal is to preserve capital and prevent loss in a portfolio.
<input type="radio"/> Income	Investing in stocks that pay a consistent and a high dividend, as well as some top-quality real estate investment trusts (REITs) and highly rated bonds that produce regular, current income.
<input type="radio"/> Growth and Income	Creates a diversified strategy that takes advantage of the capital gains potential of the growth segment and the dividend income and stability of the value segment
<input type="radio"/> Capital Appreciation	Seeks to deliver returns from investments geared toward appreciating share prices, heavily weighted toward aggressive equity investments in growth stocks while also balancing the portfolio with value stocks.
<input type="radio"/> Speculation	Seeks to assume substantial risk of losing value with the expectation of a significant gain of value; the risk of loss is more than offset by the possibility of a substantial gain.

ENTITY PROFILE & APPLICATION (CONT.'D)

6. INVESTMENT OBJECTIVES & RISK TOLERANCE OF THE ENTITY (CONT.'D)

RISK TOLERANCE

Investing involves risk. Different investment products and strategies involve different degrees of risk. The higher the expected returns of a product or strategy, the greater the risk that you could lose your investment. Please select the highest degree of risk you are willing to take with your Assets.

☐ Conservative

I want to preserve my initial principal with minimal risk, even if that means this account does not generate significant income or returns and may not keep pace with inflation.

☐ Moderately Conservative

I am willing to accept low risk to my initial principal, including low volatility, to seek a modest level of portfolio returns.

☐ Moderate

I am willing to accept some risk to my initial principal and tolerate some volatility to seek higher returns.

☐ Moderately Aggressive

I am willing to accept high risk to my initial principal, including high volatility, to seek high returns over time.

☐ Significant Risk

I am willing to accept maximum risk to my initial principal to aggressively seek maximum returns, and understand I could lose most, or all, of the money invested.

LIQUIDITY NEEDS

☐ Very Important

☐ Important

☐ Somewhat Important

☐ Does Not Matter

ENTITY PROFILE & APPLICATION (CONT.'D)

7. TAX CERTIFICATION OF THE ENTITY

☐ U.S. Entity

Under penalty of perjury, I certify that: the Taxpayer Identification Number provided in this Application is correct (or I am waiting for a number to be issued to me); and (2) I am not subject to backup withholding because: (a) I am exempt from backup withholding; or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends; or (c) the IRS has notified me that I am no longer subject to backup withholding.

☐ Certification Instructions

You must check this box if you cannot certify to item (2) above, meaning that you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return.

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

8. SIGNATURES & CONFIRMATIONS

By signing this Application, you affirm that you have received and read this Application, you have received the Form CRS and ADV (if applicable), and you are authorized to sign for the entity. The information provided is accurate and you agree to notify us of any changes in the information.

Authorized Agent (Please Print)

Authorized Agent Signature

Date Signed

Authorized Agent (Please Print)

Authorized Agent Signature

Date Signed

Rep Name (Please Print)

Rep Signature

Date Signed

Supervisor Name (Please Print)

Supervisor Signature

Date Signed

Reset Form

Print Form

ENTITY PROFILE & APPLICATION (CONT.'D)

FOR INTERNAL REVIEW PURPOSES

If this profile is being completed with an Alternative Investment Purchase, DO NOT complete this section. DO NOT complete for Changes of Broker-Dealer.

1. Considering the client's investment objectives and suitability profile, please provide the basis for your recommendation for this transaction:

2. Considering costs and any other suitable product options, please provide the basis for this recommendation:

3. For a purchase, what other alternatives were considered?

FOR MUTUAL FUND PURCHASES ONLY

- 4a. Has the customer been apprised of any breakpoint opportunity?
- 4b. Does the customer have any fund positions held away from Spire that should be considered in connection with a pending transaction?