

Discount Brokerage Account Application

Account Registration (include additional paperwork as required)

Type of account:

 Cash Individual Joint Business IRA Roth IRA SEP IRA Employer Retirement Plan
 Margin SIMPLE IRA/SARSEP Trust Estate Custodial Other –

Title of account

Primary/Minor Information

Last name First name MI

Address

City State ZIP code

Mailing address (if different)

Daytime phone Evening phone

SSN or Taxpayer ID Date of birth (mm/dd/yyyy)

 Marital status:
 Single Married Widowed Divorced

 Number of dependents -
 Employer (former if retired)

Address of employer

City State ZIP code

 Employment status/occupation:
 Labor/Trades Office/Retail Manager/Sales
 Professional Retired Student
 Unemployed Other:
 US Citizen Resident Alien

Joint/Custodian Information (if any)

Last name First name MI

Address

City State ZIP code

Mailing address (if different)

Daytime phone Evening phone

SSN or Taxpayer ID Date of birth (mm/dd/yyyy)

 Marital status:
 Single Married Widowed Divorced

 Number of dependents -
 Employer (former if retired)

Address of employer

City State ZIP code

 Employment status/occupation:
 Labor/Trades Office/Retail Manager/Sales
 Professional Retired Student
 Unemployed Other:
 US Citizen Resident Alien

Verification of Individual or Entity
Primary/Minor: Driver's license Passport Resident alien Military ID card
 Other government issued photo ID (describe) -

Identification number State of issuance Date of issuance Expiration date

Joint/Custodian: Driver's license Passport Resident alien Military ID card
 Other government issued photo ID (describe) -

Identification number State of issuance Date of issuance Expiration date

Entity: Corporate resolution Articles of incorporation Business license Partnership documents
 Trust document (title page, signature page, trustee cert.) Other -

Name of entity

State of incorporation Date of incorporation filing Employer ID Duration of entity

Purpose for which entity was formed

Name and title of corporate officers

Name of all persons authorized to trade this account

Mailing address

Account Settlement Instructions – for clearing accounts only (include additional paperwork as needed)

Proceeds:

- Remit proceeds
- Hold and sweep proceeds
- Name of Money Market fund - _____

Dividends/Interest:

- Hold Remit (indicate info below)
- Frequency: SM M Q SA A
- Method: Check ACH* Start date - _____

Periodic distribution:

- \$ amount - _____ (indicate info below)
- Frequency: SM M Q SA A
- Method: Check ACH* Start date - _____

Source of funds:

- Wages/Income Savings Gift/Inheritance
- Transfer Other - _____

* Requires a completed original ACH Authorization form.

Risk Tolerance (check one only)

- Aggressive – Able to accept prolonged negative returns during difficult phases in a market cycle.
- Moderately Aggressive – Able to accept negative annual returns during difficult phases in a market cycle.
- Moderate – Able to accept only two or three quarters of negative returns during difficult phases in a market cycle.
- Conservative – Able to accept infrequent and very modest losses during difficult phases in a market cycle.
- Very Conservative – To minimize the chance for loss, willing to accept the lower long-term returns provided by conservative investments.

Investment Objective (check one only)

I understand that the investment objective selected applies to all of my products with this account registration at Thrivent Investment Management Inc. I further understand that this investment objective replaces any previously selected objectives for products purchased under this registration.

- Aggressive Growth – Focus is on generating growth and/or income with a willingness to assume a high level of risk. *Aggressive/Moderately Aggressive*
- Growth – Focus is on generating long-term growth of capital, offset by a low level of income. *Moderately Aggressive/Moderate*
- Balanced/Conservative Growth – Focus is on generating current income and/or long-term growth. *Moderate/Conservative*
- Preservation of Principal/Income – Focus is on preservation of principal and/or income. *Conservative/Very Conservative*

Net Worth (not including primary residence):

- Under \$50,000 \$500,000 - \$999,999
- \$50,000 - \$99,999 \$1,000,000 - \$2,999,999
- \$100,000 - \$249,999 \$3,000,000 +
- \$250,000 - \$499,999

Liquid Net Worth (Assets easily converted to cash. Do not include residence or business.):

- Under \$20,000 \$250,000 - \$499,999
- \$20,000 - \$49,999 \$500,000 - \$999,999
- \$50,000 - \$99,999 \$1,000,000 - \$2,999,999
- \$100,000 - \$249,999 \$3,000,000 +

Source of Income (check all that apply):

- Earned Income
- IRA/SEP/SIMPLE/ROTH
- Qualified Plan
- Social Security
- Investment
- None
- Other: _____

Annual Income:

- Under \$20,000:
\$ _____
- \$20,000 - \$49,999
- \$50,000 - \$99,999
- \$100,000 - \$159,999
- \$160,000 - \$299,999
- \$300,000 - \$499,999
- 500,000 +

Federal Tax Bracket:

- 0 - 10%
- 11 - 15%
- 16 - 25%
- 26 - 28%
- 29 - 33%
- 34% +

Time Horizon:

- Short (0-5 years)
- Intermediate (6-10 years)
- Long (over 10 years)

Yes No Do you have cash and/or other liquid assets available to you that may be used in the event of a financial emergency?

What are your needs for liquidity in the next several years?

Complete for Tax Qualified Plans

Yes No If you are under the age of 59 1/2, do you understand there may be a 10% federal tax penalty on the taxable portion if a withdrawal is taken or the contract is surrendered?
(If "No," explain)

Affiliations and Acknowledgements

Yes No I or a member of my immediate family is affiliated with or works for a stock exchange, a member firm of an exchange or the FINRA, a registered investment advisory firm, or a registered investment company.
Note: Thrivent Investment Management Inc. may be required to send duplicate statements directly to the firm you are associated with.

Name and address of firm

Yes No I am or an immediate member of my family is a Director Policy-making executive officer of a publicly traded company.

Name of company

Yes No Trading authorization: Have you granted trading authorization to someone other than the account owner(s)?
(If yes, please submit proper documentation.)

Yes No Is the office located in a financial institution?

Please certify your Social Security number or Taxpayer ID number here _____

Tax certification: Under penalties of perjury, I certify that 1. The number shown on this form is my correct Social Security Number or Taxpayer Identification Number (TIN) (or I am waiting for a number to be issued to me). 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 and dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding. 3. I am a US person (including a U.S. resident alien).

Note: You must cross out (b) above if you are currently subject to backup withholding because of underreporting interest or dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your TIN. For Payers Exempt from Backup Withholding (if you are unsure, ask us for

a complete set of IRS instructions), write the word "exempt" here _____. If this is a joint account, the Social

Security Number of the account owner who is named FIRST in the account title MUST be used.

By my signature below I represent and certify that 1) the information above is correct and may be relied upon by you in establishing this account; 2) I have read and agree to be bound by the terms and conditions governing this account as are currently in effect and as may be amended from time to time; 3) I acknowledge receipt of the firm's privacy policy (see attached Customer Agreement); and 4) I ACKNOWLEDGE RECEIPT OF A COPY OF THIS AGREEMENT AND UNDERSTAND THAT IT CONTAINS A PREDISPUTE ARBITRATION AGREEMENT WHICH CAN BE FOUND ON PAGE 4 IN PARAGRAPHS 13 AND 14.

Signature of primary owner and date signed

Signature of joint owner/tenant and date signed

Signature of registered representative and date signed

Signature of registered principal and date signed

Print registered representative name

Print registered principal name

To financial organization and its assigns:

New Account Agreement

1. Provisions in the event of failure to pay or deliver

Whenever the undersigned does not, on or before the settlement date, pay in full for any security purchased for the account of the undersigned, or deliver any security sold for such account, you are authorized (subject to the provisions of any applicable statute, rule, or regulation):

(A) Until payment or delivery is made in full, to pledge, repledge, hypothecate, or rehypothecate, without notice, any or all securities which you or your clearing agent may hold for the undersigned (either individually or jointly with others), separately or in common with other securities or commodities or any other property, for the sum then due or for a greater or lesser sum and without retaining in your possession and control for delivery a like amount of similar securities.

(B) To sell any or all securities which you or your clearing agent may hold for the undersigned (either individually or jointly with others), to buy in any or all securities required to make delivery for the account of the undersigned, or to cancel any or all outstanding orders or commitments for account of the undersigned.

2. Cancellation provisions

You are authorized, in your discretion, should the undersigned die or should you for any reason whatever deem it necessary for your protection, without notice, to cancel any outstanding orders in order to close out the accounts of the undersigned, in whole or in part, or to close out any of the commitments made on behalf of the undersigned.

3. General provisions

Any sale, purchase, or cancellation authorized hereby may be made according to your judgement and at your discretion on the exchange or other market where such business is then usually transacted, at public auction, or at private sale without advertising the same and without any notice, prior to tender, demand, or call, and you may purchase the whole or any part of such securities free from any right of redemption, and the undersigned shall remain liable for any deficiency. It is further understood that any notice, prior to tender, demand, or call, from you shall not be considered a waiver of any provision of this agreement. The undersigned shall include any person executing this agreement.

4. Successors

This agreement and its provisions shall be continuous, and shall inure to the benefit of your present organization, and any successor organization or assigns, and shall be binding upon the undersigned and/or the estate, executors, administrators, and assigns of the undersigned.

5. Age

The undersigned, if an individual, represents that he or she is of full age.

6. Interest in account

No one except the undersigned has an interest in any of its accounts with you unless such interest is revealed in the title of such account, and in any case, the undersigned has the interest indicated in such title.

7. Orders and statements

Reports of the execution of orders and statements of the account of the undersigned shall be conclusive if not objected to in writing, the former within two days and the latter within ten days, after forwarding by you to the undersigned by mail or otherwise.

8. Extraordinary events

You shall not be liable for loss or delay caused directly or indirectly by war, natural disasters, government restrictions, exchange, or market rulings, or other conditions beyond your control.

9. Fees and charges

The undersigned agrees to the fees and charges on the fee schedule received by the undersigned. You may change the fee schedule from time to time.

10. Joint accounts

If this is a joint account, unless we notify you otherwise and provide such documentation, as you require, the brokerage 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 of us shall be liable, jointly and individually, for any amounts due to you pursuant to this Agreement, whether incurred by either or both of us.

11. Address

Communications may be sent to the undersigned at the current address of the undersigned which is on file at your office, or at such other address as the undersigned may hereafter give you in writing. All communications so sent, whether by mail, telegraph, messenger, or otherwise, shall be deemed given to the undersigned personally, whether actually received or not.

12. Recording conversations

The undersigned understands and agrees that for our mutual protection you may electronically record any of our telephone conversations.

13. Arbitration disclosures

This agreement contains a predispute arbitration clause and should be read in conjunction with the arbitration agreement below. By signing an arbitration agreement the parties agree as follows:

- (A) All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.
- (B) Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.
- (C) The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than court proceedings.
- (D) The arbitrators do not have to explain the reason(s) for their award.
- (E) The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
- (F) The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.
- (G) The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

14. Agreement to arbitrate controversies

By entering into this agreement, I agree that any and all controversies, disputes or claims between me and my principals or agents and Thrivent Investment Management, Inc. or its agents, representatives, employees, officers, directors or control persons arising out of, or in connection with, from or with respect to (a) any provisions of or the validity of this agreement or any related agreements whether entered into before or after the date of this agreement, (b) the relationship of the parties hereto, or (c) any controversy arising out of Thrivent Investment Management, Inc.'s business, its clearing firm's business or my securities products or accounts, shall be determined by arbitration before the Financial Industry Regulatory Authority.

No person shall bring a putative or certified class action to arbitration, nor seek to enforce any predispute arbitration against any person who has initiated in court a putative class action; or who is a member of a putative class action who has not opted out of the class with respect to any claims encompassed by the putative class action until: (i) the class certification is denied; or (ii) the class is decertified; or (iii) the customer is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to the extent stated herein.