

Application to Be a Selected Intermediary

Thank you for choosing to do business with AllianceBernstein Investments. We ask you complete this form to the best of your ability as it will assist us in performing our due diligence. Questions regarding the application may be directed to sellingagreements@alliancebernstein.com.

Please complete the application and return to AllianceBernstein by:

- Mail: AllianceBernstein Investments, Attn: PDS, 8000 IH 10 West, 13th Floor, San Antonio, TX 78230
- Email: sellingagreements@alliancebernstein.com

1. General Firm Information

Applicant Firm ("Firm") Name Firm FINRA CRD No.

The Firm Name and/or FINRA CRD No. for this firm has changed in the previous 12 months.

Principal Business Address

Physical Street Address (if Principal Business Address is a PO Box)

Phone Number

Firm Website

Firm Trading Symbol*

Parent Company Name*

Main Contact

Title

Phone Number

Email Address

Executive Officer

Title

Phone Number

Email Address

Compliance Officer ("CO")

Phone Number

Email Address

Does the CO supervise customer account activity? Yes No

Is the CO engaged in sales? Yes No

Have you been in contact with an AB representative? Yes No If yes, with whom? _____

Who is the firm's primary regulator? SEC FINRA Other (specify) _____

Number of Branch Offices

Branch Offices in How Many States?

Assets Under Management

AUM Value As-Of Date

Number of Employees

Number of Active Selling Representatives

Briefly describe the firm's services

Which service(s) offered by AllianceBernstein are you most interested in distributing?

Mutual Funds Retirement Plans Institutional Offshore Separately Managed Accounts

Estimated assets to be invested with AllianceBernstein within the next year: \$ _____

* If not applicable, enter "N/A"



Investment Products Offered

• Are Not FDIC Insured • May Lose Value • Are Not Bank Guaranteed

2. Trading Information

Recordkeeping/Trade Entry System	FINS and Executor Number	Firm's Clearing Agent*										
Does the firm offer a wrap-fee program?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<table border="1"> <thead> <tr> <th colspan="2">Sales Percentages (By Product Type)</th> </tr> </thead> <tbody> <tr> <td>Retail Mutual Funds</td> <td>_____ %</td> </tr> <tr> <td>VAs</td> <td>_____ %</td> </tr> <tr> <td>Separately Managed Accounts</td> <td>_____ %</td> </tr> <tr> <td>Retirement Accounts</td> <td>_____ %</td> </tr> </tbody> </table>	Sales Percentages (By Product Type)		Retail Mutual Funds	_____ %	VAs	_____ %	Separately Managed Accounts	_____ %	Retirement Accounts	_____ %
Sales Percentages (By Product Type)												
Retail Mutual Funds	_____ %											
VAs	_____ %											
Separately Managed Accounts	_____ %											
Retirement Accounts	_____ %											
Are trades placed through the NSCC?	<input type="checkbox"/> Yes <input type="checkbox"/> No											
Does the firm act as a clearing agent?	<input type="checkbox"/> Yes <input type="checkbox"/> No											
Are the DCC&S cycles used?	<input type="checkbox"/> Yes <input type="checkbox"/> No											
NSCC networking level(s) typically used	<input type="checkbox"/> 3 <input type="checkbox"/> 4											
Is the firm considered a "discount broker"?	<input type="checkbox"/> Yes <input type="checkbox"/> No											
If yes, do the selling representatives assist clients with suitability?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If yes, where? _____										
Does the firm or an affiliate operate an offshore business?	<input type="checkbox"/> Yes <input type="checkbox"/> No											

3. Compliance

Does the firm have compliance policies, procedures, and controls reasonably designed and tested to ensure compliance with applicable U.S. federal and state and local securities laws, rules and regulations, prospectus requirements, and contractual obligations, including but not limited to:

Rule 22c-1(a) of the Investment Company Act of 1940, which prohibits the placement of mutual fund trades after the daily close of the NYSE? Yes No

If no, please provide an explanation: _____

Rule 22c-2 of the Investment Company Act of 1940, which requires providing investor-level information to each fund per the funds' request? Yes No

If no, please provide an explanation: _____

The terms of the prospectus, including but not limited to: Yes No

- Account opening minimums
- Breakpoints/sales load discounts including class B and C maximum purchase limits
- Excessive or short-term trading

If no, please provide an explanation: _____

4. Legal/Regulatory and Litigation

Does the firm and/or any principal have any past or pending FINRA or SEC disclosure items that you would like to provide an explanation of, or support for, in advance of our discovery and review? Yes No

Does the firm undergo an annual SSAE 18, FICCA, or equivalent external audit examination of internal controls? Yes No

Please list the firm's external auditor(s) for the previous three years: _____

Does the firm have an internal audit department or person that reviews the firm's internal compliance controls? Yes No

If yes, please provide a contact name and phone number: _____

Name	Phone Number
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* If not applicable, enter "N/A"

5. Anti-Money Laundering (AML) and Know Your Customer (KYC)

Does the firm have an AML and/or KYC program? Yes No

If no, please provide a detailed explanation: _____

If the firm has an AML and/or KYC program, did management or a Board of Directors approve the program? Yes No

If no, please provide a detailed explanation: _____

How is AML/KYC training conducted for employees? _____

Who is required to attend the AML/KYC training? _____

How often is the AML/KYC training administered? _____

Which government lists does the firm use to perform reviews of customers?

FINCEN OFAC Other: _____

Does the firm perform reviews of suspicious activity and report incidents to FINCEN or other applicable regulatory bodies? Yes No

Does the firm maintain a Customer Identification Program (CIP) and identification procedures for customers as defined by the USA PATRIOT Act? Yes No

If no, please explain the firm's present capabilities and plans for the future: _____

6. Authorization

The signer below attests to the completeness and accuracy of the information provided in this form.

Signature (Printed signature accepted for electronic submissions) Date

Printed Name of Authorized Signer Date

AllianceBernstein Investments, Inc. (ABI) is the distributor of the AllianceBernstein family of mutual funds. ABI is a member of FINRA and is an affiliate of AllianceBernstein L.P., the manager of the funds.

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