

If any of this form is left blank, the transaction will not be processed, and paperwork will be returned to you for completion.

Primary Owner Information (or Trust Info)

Function of Client: ☐ Owner ☐ Trust ☐ Company ☐ Organization (Non-Profit)

Client Full Name (No Initials) _____ Social Security No/Tax ID _____ Birth Date/Established Date _____

Home/Cell Phone _____ Work Phone _____ E-Mail Address _____

Marital Status: ☐ Single ☐ Married Number of Dependents: _____ Citizenship: ☐ U.S. ☐ Resident Alien: _____
(if unknown, default to zero) Country of Citizenship _____

Employment: _____
Employer _____ Occupation (type of business and position title) _____

Employer Address _____ City _____ State _____ Zip _____

AFFILIATIONS: Please identify any affiliation client has with a securities firm, exchange or agency: _____

Is client a senior foreign political figure or family member or associate of a senior foreign political figure (default="No"): ☐ Yes

I certify that I have prepared and filed the most recent tax return for this client: ☐ Yes ☐ No (if no, please supply id information below)

Issued Picture ID Type _____ ID No _____ State/Country of Issuance _____ Issue Date _____ Expiration Date _____

Secondary Owner Information (or Trustee Info)

Function of Client: ☐ Owner ☐ Trustee ☐ Contact ☐ POA

Client Full Name (No Initials) _____ Social Security No/Tax ID _____ Birth Date/Established Date _____

Home Phone _____ Work Phone _____ E-Mail Address _____

Marital Status: ☐ Single ☐ Married Number of Dependents: _____ Citizenship: ☐ U.S. ☐ Resident Alien: _____
(if unknown, default to zero) Country of Citizenship _____

Employment: _____
Employer _____ Occupation (type of business and position title) _____

Employer Address _____ City _____ State _____ Zip _____

AFFILIATIONS: Please identify any affiliation client has with a securities firm, exchange or agency: _____

Is client a senior foreign political figure or family member or associate of a senior foreign political figure (default="No"): ☐ Yes

I certify that I have prepared and filed the most recent tax return for this client: ☐ Yes ☐ No (if no, please supply id information below)

Issued Picture ID Type _____ ID No _____ State/Country of Issuance _____ Issue Date _____ Expiration Date _____

Investment Experience: If Left unchecked, "None" will be assumed

<u>Stocks</u>	<u>Mutual Funds</u>	<u>Bonds</u>	<u>Options</u>	<u>Annuities-Life Ins</u>
<input type="checkbox"/> None	<input type="checkbox"/> None	<input type="checkbox"/> None	<input type="checkbox"/> None	<input type="checkbox"/> None
<input type="checkbox"/> Less Than 5yrs	<input type="checkbox"/> Less Than 5yrs	<input type="checkbox"/> Less Than 5yrs	<input type="checkbox"/> Less Than 5yrs	<input type="checkbox"/> Less Than 5yrs
<input type="checkbox"/> 5-10 yrs	<input type="checkbox"/> 5-10 yrs	<input type="checkbox"/> 5-10 yrs	<input type="checkbox"/> 5-10 yrs	<input type="checkbox"/> 5-10 yrs
<input type="checkbox"/> Over 10 yrs	<input type="checkbox"/> Over 10 yrs	<input type="checkbox"/> Over 10 yrs	<input type="checkbox"/> Over 10 yrs	<input type="checkbox"/> Over 10 yrs

Account Information

Mailing Address (or P.O. Box) _____ City _____ State _____ Zip _____ Country _____

Legal/Residential Address (if different from mailing address) _____ City _____ State _____ Zip _____ Country _____

Investment Information

<input type="checkbox"/> Conservative Income	<input type="checkbox"/> Moderate Income	<input type="checkbox"/> Aggressive Income	<input type="checkbox"/> Trading & Speculation
<input type="checkbox"/> Conservative Growth & Income	<input type="checkbox"/> Moderate Growth & Income	<input type="checkbox"/> Aggressive Growth & Income	
<input type="checkbox"/> Conservative Growth	<input type="checkbox"/> Moderate Growth	<input type="checkbox"/> Aggressive Growth	

Section 1 - Financial Information * Household should include the combined figures of the purchaser and spouse

- 1) **Gross Annual Household* Income:** (Wages, Commissions, Bonuses, Social Security, pension/ retirement benefits, investment Interest and Dividends, Disability, Unemployment Compensation, and rental income) \$ _____
- 2) **Total Net Worth of Household*:** Net worth is the value of your assets minus your liabilities. For purposes of this application and pursuant to Regulation D of the securities act of 1933, do not include your primary residence among your assets and for liabilities, do not include the mortgage on your primary residence unless one or both of these conditions apply:
- if in the 60 days preceding the sale of this security, a line of credit has been taken out against the primary residency, then the amount of that increase should be included as a liability ; or
 - if the amount of debt secured by the primary residence is greater than the estimated fair market value of the residence, then the excess is included as a liability in the net worth calculation.
- \$ _____
- 3) **Total Liquid Net Worth of Household*:** Liquid net worth is your total net worth of household minus assets that cannot be converted quickly and easily to cash, such as real estate, business equity, personal property, automobiles, expected inheritances, assets earmarked for other purposes. When you include investment accounts in the total liquid net worth of household calculation, you must subtract any surrender charges, fees, and penalties for early withdrawal. \$ _____
- 4) **Value of Household* Investments: Stocks, Bonds, Mutual Funds, Annuities and Other Securities** Investments held in qualified and non-qualified registrations should be included. You must subtract any surrender charges, fees, and penalties for early withdrawal. \$ _____
- 5) **Cash & Cash Equivalents of Household*:** (e.g. checking, savings, CDs, etc.) \$ _____
- 6) **Total Annual Expenses:** \$ _____
- 7) **Tax Bracket:** ☐ 0% ☐ 1 – 10% ☐ 11 – 15% ☐ 16 – 25%
☐ 26 – 28% ☐ 29 – 33% ☐ 34 – 37% ☐ Over 35%
- 8) **Estimated Tax Savings:** ☐ \$0 -\$49,999 ☐ \$50,000-\$99,999 ☐ \$100,000 - \$199,999 ☐ \$200,000 - \$499,999
☐ \$500,000 - \$999,999 ☐ \$1,000,000 - \$4,999,999 ☐ \$5,000,000 - \$9,999,999 ☐ \$10,000,000 +

Section 2 - Source of Funds (If liquidating more than one investment, please complete a new page for each investment liquidated)

- 1) **What is the source of funds that is being used to purchase this investment?** (Annuity assets liquidated within the last 6 months should be considered an exchange/replacement)
- ☐ Securities other than annuities or insurance ☐ CD
- ☐ Full Exchange or Replacement of Annuity/Insurance contract ☐ Inheritance/Gifts/Estate Assets
- ☐ Partial Exchange or Partial Liquidation of Annuity/Insurance contract ☐ Employer Sponsored Plan Rollover (401k, SIMPLE, SEP)
- ☐ Salary / Savings (Not Previously Invested Cash) ☐ Other - detail source
- 2) **Name of specific investment product, fund or equity listed:**
- 3) **Date exiting product was originally purchased:**
- 4) **Is the source of funds coming from a sale/liquidation where you were the selling agent on the original product?**
☐ Yes ☐ No
- 5) **If this Energy GP/LP is funded from the liquidation of another investment product that is subject to a CDSC, what is the surrender charge that will be incurred:** ☐ No surrender charge ☐ 0.1%-2.99% ☐ 3.0-3.99% ☐ 4% or more
- 6) **If the funds are coming from the liquidation of another product and there is a CDSC of 3% or more, please explain why this is suitable.**

Section 3- Questions Regarding the Energy GP/LP being purchased

- 1) **Amount of Investment:**
- 2) **Time Horizon for Principal Investment:** ☐ 0 to 3 Years ☐ 4 to 7 years ☐ 8 to 10 Years ☐ 10+ Years
- 3) **Does the client anticipate needing principal from this investment in the next 7 years?** ☐ Yes ☐ No
- 4) **What percentage of the client's total liquid net worth will be in Non-Traded Investments AFTER this purchase?**
(Non-traded Investments are securities that are not traded on a securities exchange, and for which there is no secondary market. Ex: Non-Traded REIT, Non-Traded Closed-End Funds, Unlisted Limited Partnerships, LLCs) **INCLUDING TODAY'S PURCHASE.**
☐ 0-10% ☐ 11%-29% ☐ 30%-49% ☐ 50% or more

5) Given the client's age, objective(s), time horizon, liquidity needs, etcetera, please explain how this product satisfies the client's needs.

Client Acknowledgement

I/We have read the offering memorandum/prospectus for this product in its entirety and have had the opportunity to research and ask my/ our Financial Professional (FP) questions regarding the information received. I/We have sufficient knowledge and experience to independently evaluate the risks and merits of this investment, and to make an informed decision concerning this investment

I/WE UNDERSTAND THE FOLLOWING:

- I/We will have unlimited joint and several liability for Partnership obligations if I/we choose to invest as an investor general partner until converted to a limited partner. the managing general partner has the absolute and sole discretion in determining whether and when to convert investor general partners to limited partners.
- Once the units are converted, I/we will have the lesser liability of a limited partner under Delaware law for the partnership's obligations and liabilities arising after the conversion. However, I/we will continue to have the responsibilities of a general partner for the partnership's liabilities and obligations incurred before the effective date of the conversion. For example, I/We might become liable for the partnership's liabilities in excess of my/our subscription amount during the time the partnership is engaged in drilling activities and for environmental claims that arose during drilling activities but were not discovered until after the conversion.
- As a general partner, I/we understand that there is the potential for a greater loss than the amount that I/we have invested.
- I/We will have limited liability for the Partnership obligations if I/we choose to invest as a limited partner. I/we understand that a limited partners share of the partnership's deductions for intangible drilling costs will be limited to offsetting my passive income from passive trade or business activities.
- I/We am investing as a general partner or limited partner to obtain tax benefits with the understanding that any tax benefit I/we receive is a substantial part of my/our potential return on this investment.
- I/We am investing as a general partner or limited partner to obtain tax benefits with the understanding that any tax benefit I/we receive is a substantial part of my/our potential return on this investment.
- Any investment I/we make that exceeds 40% of my/our estimated alternative minimum taxable income (AMTI) before intangible drilling costs (IDC) deduction would provide me/us with no additional tax benefit.

INVESTMENT OBJECTIVES

- This offering is made only to accredited investors as defined in Regulation D.
- The purchase of this product is intended as a long-term investment.
- The managing general partner and its affiliates will exclusively manage the Partnership and its business, and the managing general partner has absolute and sole discretion in determining which properties or prospects will be drilled by the partnership.
- Avantax Investment Services is not involved in the selection of properties for this partnership.
- There are no conflicts of interest resolution procedures among the managing general partner and investors in the partnership.
- The oil and gas business is subject to environmental hazards and risks, such as oil spills, gas leaks and ruptures, discharges of petroleum products and hazardous substances, and improper disposal activities. These environmental hazards and risks could expose the Partnership to material liabilities for property damage, personal injury or other environmental harm, as well as substantial fines and remediation expenses.

DISTRIBUTIONS

- Distributions are not guaranteed and may be deferred and may decrease over time or halted altogether.

- The Partnership's drilling operations involve the possibility of a total or partial loss of my investment because, among other things, the Partnership may drill dry holes, or may drill wells that do not produce enough revenue to return the investment made.
- My/Our Partnership distributions will be a return of capital until I/we have received 100% of my investment back.
- Taxable income may be allocated by the Partnership to investors in excess of their respective cash distributions from the Partnership.

LIQUIDITY/REDEMPTION

- The Partnership's revenues are directly related to its ability to market and sell the natural gas and oil produced from the wells it drills. natural gas and oil prices are volatile and uncertain. If natural gas and oil prices decrease, my investment return will decrease.
- There is a lack of liquidity or a public market for the units, which makes it extremely difficult to sell the units and I/We will likely realize substantially less than the full investment upon liquidation.
- I/We are aware in the event of my/our death, our beneficiaries will inherit an illiquid investment.

TAX CODE TREATMENT

- Proposed changes in the federal income tax laws, if enacted, could reduce my tax benefits from an investment in the Partnership.
- Investors should consult their tax advisors regarding such potential tax consequences, as applicable.

COMPENSATION/FEES

- Avantax and my/our Financial Professional will be compensated for the sale of this company interest in addition to other companies and individuals affiliated with the company and this offering. I/We will review the applicable prospectus for specific information about the compensation paid.
- In addition to the commissions and other compensation disclosed in the applicable prospectus, Avantax may also receive additional compensation from company sponsors or affiliated companies that is not related to individual transactions, but instead is paid to support marketing, education and training services provided by Avantax. Sponsors that provide this support typically are permitted to attend Avantax sales conferences and get additional access to Avantax Financial Professionals. The amount of these payments are material.
- Avantax Financial Professionals may separately receive reimbursement from company sponsors for training and educational meetings, conferences or client events, and may receive promotional items, meal or entertainment from product sponsors. I/We will consult with my/our Financial Professional for additional information about the company's reimbursement or compensation practices.

My/Our Financial Professional is an independent contractor of Avantax solely for purposes of conducting securities related activities. I/We acknowledge that Avantax does not supervise or take any responsibility for any such tax, accounting, or legal advice or services provided by my/our Financial Professional. I/We understand that since my Financial Professional is paid based on my/our investment, my/our Financial Professional may have a conflict of interest in rendering accounting, tax, or legal advice or services. I/We have weighed this conflict of interest and have knowingly decided to proceed despite such conflict(s).

Avantax Client Pre-Dispute Arbitration Agreement

This agreement contains a pre-dispute arbitration clause. By signing an arbitration agreement, the parties agree as follows:

- 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.
- Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify arbitration award is very limited.
- The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.
- The arbitrators do not have to explain the reason(s) for their award unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the panel at least 20 days prior to the first scheduled hearing date.
- The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
- 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.
- The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

No person shall bring a putative or certified class action to arbitration, nor seek to enforce any pre-dispute arbitration agreement against any person who has initiated in court a putative class action; or who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until:

- The class certification is denied; or
- The class is decertified; or
- The client 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.

You agree that all claims, controversies and other disputes between you and Avantax investment services and its Affiliated entities, including Avantax Insurance Agency, LLC (collectively referred to as "Avantax") and any of their directors, officers, employees, registered representatives or agents arising out of or relating to this agreement or any orders or transactions therein or the continuation, performance or breach any agreement between you and Avantax, whether entered into before, on, or after the date this account is opened, shall be determined by arbitration conducted by, and subject to the arbitration rules then in effect of, FINRA. If FINRA declines jurisdiction, then you agree to have the arbitration conducted by and subject to the rules then in effect of the American Arbitration Association. This agreement to arbitrate shall be specifically enforceable under prevailing law and procedures. All federal and state statutes of limitation, doctrines of repose and time bars shall apply to any arbitration proceeding, and nothing in this agreement shall be deemed to limit or waive the application of any such statute or doctrine. The award rendered by the arbitrators shall be final, and judgment may be entered upon it in any court having jurisdiction over the parties. Counsel can advise you on how this provision may affect you.

I/We agree that this Agreement shall be governed by the laws of the state of Texas without regard to its conflict of the law's provisions and shall inure to the benefit of my/our and Avantax Investment Securities, Inc.'s respective successors and assigns, and shall be binding on me/us and my/our representatives, attorneys-in-fact, heirs, executors, administrators, and assigns.

Signatures

I/We acknowledge review and approval and confirm the accuracy of all the information contained on all pages of this disclosure, and that my financial information listed is accurate.

To help the government fight the funding of terrorism and money-laundering activities, U.S. Federal law requires financial institutions to obtain, verify, and record information that identifies each person (individuals and businesses) who opens an account. What this means for you: When you open an account, we will ask for your name, address, date of birth and other information that will allow us to identify you. We may also ask for your driver's license or other identifying documents.

Client Name:	Client Signature:	Date:
Client Name:	Client Signature:	Date:

FINANCIAL PROFESSIONAL USE ONLY

Financial Professional Signature:	Date:
Financial Professional Name (Printed):	FP Number:

Avantax Wealth ManagementSM is the holding company for the group of companies providing financial services under the Avantax name. Securities offered through Avantax Investment ServicesSM, Member FINRA, SIPC. Investment advisory services offered through Avantax Advisory ServicesSM. Not all products and services listed are offered by all firms. Products and services listed may only be offered by properly licensed individuals. 3200 Olympus Blvd, Dallas, TX 75019 972-870-6000