



For Office Use Only:

Account Number: _____

Brokerage Account Application

Please type or print. All information must be completed in order for your account application to be processed.

Name of Account		E-mail Address: _____	
Name on Account		<input type="checkbox"/> Home <input type="checkbox"/> Business <input type="checkbox"/> P.O. Box Send mail to:	
Joint Applicant's Name		()	
Home Address (P.O. Box is not sufficient)		P.O. Box, if applicable Home Telephone	
		City State Zip Code	

Type of Account	
Account Registration:	<input type="checkbox"/> Individual (in your name only) <input type="checkbox"/> Joint Tenants with Rights of Survivorship <input type="checkbox"/> Tenants in Common (Complete Joint Account Agreement) <input type="checkbox"/> Custodial (provide Social Security Number and date of birth for minor)
<i>All qualified accounts are opened as margin accounts, allowing you to borrow against the value of certain marginable securities. To decline margin privileges, check the box below. \$2,000 minimum equity is required to establish a margin account.</i>	
<input type="checkbox"/> I decline margin privileges. Open my account as cash only.	

Personal Information	
Your Social Security or Tax ID Number	<input type="checkbox"/> Single <input type="checkbox"/> Divorced <input type="checkbox"/> Married <input type="checkbox"/> Widowed
Date of Birth	Marital Status
Bank Reference	Bank Account Number
Brokerage Account Reference	<input type="checkbox"/> Yes <input type="checkbox"/> No Are you a U.S. citizen? If not, please specify
Joint Applicant's Social Security or Tax ID Number	<input type="checkbox"/> Single <input type="checkbox"/> Divorced <input type="checkbox"/> Married <input type="checkbox"/> Widowed
Date of Birth	Marital Status
Bank Reference	Bank Account Number
Brokerage Account Reference	<input type="checkbox"/> Yes <input type="checkbox"/> No Are you a U.S. citizen? If not, please specify

Employment Information

Your Employer	Occupation/Position	Years of Employment	Type of Business ()
Business Address	City	State	Zip
Business Telephone			
Joint Applicant's Employer	Occupation/Position	Years of Employment	Type of Business ()
Business Address	City	State	Zip
Business Telephone			

Check here if you have granted trading authorization to another party.
If so, request Trading Authorization Form and provide name of agent:

Check here if you, or the Joint Applicant, are a director, 10% shareholder, or policy-making officer of a publicly traded company.
If so, identify the company name, address, and position held:

Check here if you, or the Joint Applicant, are licensed or employed by a registered broker/dealer or registered investment advisor.
If so, identify the company name, address, and position held:

Check here if you, the Joint Applicant, or any member of your immediate family, is a Senior Foreign Political Figure.
If so, identify the name of the official, office held, relationship to account owner, and country:

Investment Profile

Regulations require us to ask for the following information in order to properly service your investment needs. For joint accounts, please provide us with information for your household. All information will be kept strictly confidential.

Investment Objectives (Choose all that apply):

- Speculation/Trading Growth Income Capital Preservation

Your investment objectives must include Speculation/Trading for option trading

Investing Experience:

- None
 Limited
 Good
 Extensive

Annual Income (from all sources):

- \$0 - \$24,999
 \$25,000 - \$49,999
 \$50,000 - \$74,999
 \$75,000 - \$99,999
 Over \$100,000

Federal Tax Bracket:

- Under 15%
 15% - 25%
 Over 25%

Estimated Net Worth:

- \$0 - \$49,999
 \$50,000 - \$99,999
 \$100,000 - \$249,999
 \$250,000 - \$499,999
 Over \$500,000

Estimated Liquid Net Worth (Cash & Liquid Investments Only):

- \$0 - \$49,999
 \$50,000 - \$99,999
 \$100,000 - \$249,999
 \$250,000 - \$499,999
 Over \$500,000

Would you like your existing brokerage account transferred to Firstrate?

- Yes, transfer my existing brokerage account to Firstrate. (Forms will be sent to you or download from www.firstrate.com)
- No, not at this time.

Account Agreement

Rule 14b-1(c) of the Securities Exchange Act, unless you object, requires us to disclose to an issuer, upon its request, the name, address, and securities position of our customers who are beneficial owners of the issuer's securities, which are held by Ridge Clearing in nominee name. The issuer would be permitted to use your name and other related information for corporate communication only. If you object to this disclosure, check this box:

I would like to establish a brokerage account with Firstrate Securities Inc. which clears all transactions through Ridge Clearing. I acknowledge by signing this agreement that I have received, read and understand the terms and conditions in the Firstrate Securities Inc. Account Agreement (which includes the margin agreement), and agree to be bound by these terms and conditions as they apply to my account as amended from time to time. I agree that Firstrate Securities Inc. does not provide legal or tax advice, and will not advise me concerning the nature, potential value, or suitability of any particular security, transaction, or investment strategy. I understand that investments purchased through Firstrate Securities are not insured by the FDIC (Federal Deposit Insurance Corporation), are not obligations of or guaranteed by any financial institution and are subject to investment risk and loss that may exceed the principal invested.

In accordance with the Firstrate Securities Account Agreement, I agree that all debts and other obligations owed to Firstrate and any party to the Account Agreement will be secured by a lien on all securities and other property now or hereafter held or maintained in any of my present or future Firstrate accounts, whether individually or jointly held with others, or in any other Firstrate account in which I have an interest.

I further acknowledge that I have received, read and understand the predispute arbitration clause located in the Firstrate Securities Inc. Account Agreement, paragraph 23, and agree to resolve any disputes arising out of my account by arbitration.

I further acknowledge that I have received, read and understand the Margin Disclosure Statement provided by Firstrate Securities Inc.

Under penalties of perjury, I certify (1) that the number shown on this application is my correct taxpayer identification number and (2) that I am not subject to backup withholding and (3) that I am a U.S. person (including a resident alien); provided, however, if I am a nonresident alien as disclosed in this application, I do not certify that I am a U.S. person and I understand that I must submit the appropriate W-8 Form. If I have been notified by the IRS that I am subject to backup withholding as a result of dividend or interest underreporting, I must cross out the text contained in clause (2) of this section and I understand I will be subject to backup withholding.

I authorize Ridge Clearing and/or Firstrate Securities to obtain a consumer report at the time of application to verify my creditworthiness and to obtain a consumer report from time to time for updates, renewals, extensions, and collection activity on any approved account. Upon my written request, Ridge Clearing will disclose to me whether it obtained a report, and if so, the name and address of the consumer-reporting agency that provided it. In the event that my account is denied, as a result of the consumer report verification, I authorize Ridge Clearing to provide to Firstrate the reason(s) for such denial.

I acknowledge that the information provided in the Account Application is accurate and correct.

X

Applicant's Signature

Date

X

Joint Applicant's Signature

Date

For Office Use Only

Margin

Cash

Approved By: _____

Date: _____

Account #: _____

Customer ID
Verified:

Yes

No