

Authorized Agent/Trustee/Officer Information

Name _____ Title in Organization (*President, Trustee, Partner, etc.*) _____

- Single Divorced
 Married Widowed

Social Security Number _____ Date of Birth (Month/Day/Year) _____ Marital Status _____

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Home Address _____ City _____ State _____ Zip Code _____ Telephone _____

Employer _____ Occupation/Position _____ Years Employed _____ Type of Business _____

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Employer's Address _____ City _____ State _____ Zip Code _____ 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 a business associate, 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 a business associate, 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, any member of your immediate family, or a business associate 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. 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.

Estimated Net Worth: **Estimated Liquid Net Worth:** **Annual Income** (from all sources): **Federal Tax Bracket:**

- | | | | |
|--|--|---|------------------------------------|
| <input type="checkbox"/> \$0 - \$49,999 | <input type="checkbox"/> \$0 - \$49,999 | <input type="checkbox"/> \$0 - \$24,999 | <input type="checkbox"/> Under 15% |
| <input type="checkbox"/> \$50,000 - \$99,999 | <input type="checkbox"/> \$50,000 - \$99,999 | <input type="checkbox"/> \$25,000 to \$49,999 | <input type="checkbox"/> 15% - 25% |
| <input type="checkbox"/> \$100,000 - \$249,999 | <input type="checkbox"/> \$100,000 - \$249,999 | <input type="checkbox"/> \$50,000 to \$74,999 | <input type="checkbox"/> Over 25% |
| <input type="checkbox"/> \$250,000 - \$499,999 | <input type="checkbox"/> \$250,000 - \$499,999 | <input type="checkbox"/> \$75,000 to \$99,999 | |
| <input type="checkbox"/> Over \$500,000 | <input type="checkbox"/> Over \$500,000 | <input type="checkbox"/> Over \$100,000 | |

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

Account Agreement

In this agreement, "I" and "my" refer to the entity for which this account is established and/or the natural person(s) authorized to represent and act on behalf of the entity.

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 Firstrade 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 Firstrade 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 Firstrade 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 Firstrade 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 Firstrade Securities Account Agreement, I agree that all debts and other obligations owed to Firstrade 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 Firstrade accounts, whether individually or jointly held with others, or in any other Firstrade account in which I have an interest.

I further acknowledge that I have received, read and understand the predispute arbitration clause located in the Firstrade 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 Firstrade 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 Firstrade 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 Firstrade the reason(s) for such denial.

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

X

Signature & Title of Authorized Person

Date

For Office Use Only

Margin Cash

Approved By: _____ Date: _____ Account #: _____ Customer ID Verified: Yes No

CORPORATION ACCOUNT
(Cash Accounts Only – Limited Authority)



A/C # _____

TO: Firstrade & Ridge Clearing & Outsourcing Solutions, Inc.

I HEREBY CERTIFY that at a meeting, duly called, of the Board of Directors of _____, a corporation, held the _____ day of _____, 20____ at which said meeting a quorum was present and acting throughout, the following preamble and resolution was adopted and ever since has been and now is in full force and effect:

“WHEREAS this Corporation is duly authorized and permitted by its Charter and By-Laws to deal in stocks, bonds, and other securities:

NOW THEREFORE BE IT RESOLVED that this Corporation open an account or accounts in its name with Firstrade Securities through Ridge Clearing & Outsourcing Solutions, Inc., New York, New York, and that

_____, President

_____, Vice President

_____, Treasurer

or _____, or any one of them or their successors in office, may, on behalf of this Corporation, (1) give orders in the said account or accounts for the purchase, sale or other disposition of stocks, bonds, and other securities, (2) deliver to and receive from Firstrade Securities and/or Ridge Clearing & Outsourcing Solutions, Inc. on behalf of this Corporation monies, stocks, bonds, and other securities, (3) sign acknowledgements of the correctness of all statements of accounts and (4) make, execute and deliver under the corporate seal any and all written endorsements and documents necessary or proper to effectuate the authority hereby conferred; the within authorization to each of said officers to remain in full force and effect until written notice of the revocation thereof shall have been received by Firstrade Securities or Ridge Clearing & Outsourcing Services, Inc.”

I FURTHER CERTIFY that the following are the signatures of the officers authorized by the foregoing resolution to act for this Corporation.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the seal of said Corporation this _____ day of _____, 20____.

Secretary

