



133-25 37th Ave., Flushing, NY 11354  
 Tel: 1-800-869-8800 Fax: 1-718-961-3919  
 Member FINRA/SIPC

Account #: \_\_\_\_\_

## Entity Account Application

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

### Type of Account

Select one account type for your entity.

- |  |  |  |
|--|--|--|
| <input type="checkbox"/> Corporate                 | <input type="checkbox"/> Trust               | <input type="checkbox"/> Sole Proprietorship           |
| <input type="checkbox"/> Limited Liability Company | <input type="checkbox"/> Investment Club     | <input type="checkbox"/> Non-Incorporated Organization |
| <input type="checkbox"/> Partnership               | <input type="checkbox"/> Limited Partnership | <input type="checkbox"/> Other _____                   |

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 decline margin privileges. Open my account as cash only.

### Entity Information

U.S. Entity  Foreign Entity – Country of Formation:

Title of Entity

Street Address (No P.O. Boxes)

City

State

Zip Code

Mailing Address (if different from Street Address)

City

State

Zip Code

Contact Name/Title

( )

Entity Tax ID Number (or SSN if applicable)

( )

Daytime Phone Number

Fax Number

E-mail Address

State of Organization

Creation Date

Bank Account Reference

Bank Account Number

Brokerage Account Reference

Brokerage Account Number

## 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 \_\_\_\_\_

Home Address \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_ Telephone \_\_\_\_\_

Employer \_\_\_\_\_ Occupation/Position \_\_\_\_\_ Years Employed \_\_\_\_\_ Type of Business \_\_\_\_\_

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, 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:**

\$0 - \$49,999  \$0 - \$49,999  \$0 - \$24,999  Under 15%

\$50,000 - \$99,999  \$50,000 - \$99,999  \$25,000 to \$49,999  15% - 25%

\$100,000 - \$249,999  \$100,000 - \$249,999  \$50,000 to \$74,999  Over 25%

\$250,000 - \$499,999  \$250,000 - \$499,999  \$75,000 to \$99,999

Over \$500,000  Over \$500,000  Over \$100,000

## Would you like your existing brokerage account transferred to Firsttrade?

Yes, transfer my existing brokerage account to Firsttrade. (Forms will be sent to you or download from [www.firsttrade.com](http://www.firsttrade.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 Penson Financial 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 Penson Financial. 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 Penson Financial 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, Penson Financial 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 Penson Financial 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**  
(Authorizing Trading in Securities and Permitting  
Margin Transactions, Options and Short Sales)



A/C # \_\_\_\_\_

TO: Firstrate & Penson Financial Services, Inc.

The undersigned Corporation, by \_\_\_\_\_ its President, pursuant to the resolutions, a copy of which, certified by the Secretary, is annexed hereto, hereby authorizes you to open an account in the name of said Corporation; and the undersigned represents that no one other than the undersigned has any interest in such account. The undersigned also encloses herewith your Margin/Loan Agreement and Options Agreement (if applicable) duly executed on behalf of the Corporation. This authorization shall continue in force until revoked by the undersigned Corporation by a written notice, addressed to you and delivered at your main office.

Dated, \_\_\_\_\_ Very truly yours,

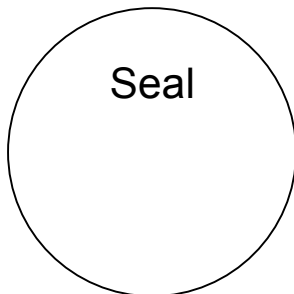
\_\_\_\_\_  
(City) (State) By \_\_\_\_\_  
President

I, \_\_\_\_\_, being the Secretary of \_\_\_\_\_, hereby certify that the annexed resolutions were duly adopted at a meeting of the Board of Directors of said Corporation, duly held on the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_ at which a quorum of said Board of Directors was present and acting throughout and that no action has been taken to rescind or amend said resolutions and the same are now in full force and effect.

I FURTHER CERTIFY that each of the following has been duly elected and is now legally holding the office set opposite his name:

\_\_\_\_\_, President  
\_\_\_\_\_, Vice President  
\_\_\_\_\_, Treasurer  
\_\_\_\_\_, Secretary

I FURTHER CERTIFY that the said Corporation is duly organized and existing and has the power to take the action called for by the resolutions annexed hereto. IN WITNESS WHEREOF, I have hereunto set my hand and affixed the seal of said Corporation this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.



\_\_\_\_\_  
Secretary

CERTIFIED COPY OF CERTAIN RESOLUTION(S) ADOPTED BY THE BOARD OF DIRECTORS  
WHEREBY THE ESTABLISHMENT AND MAINTENANCE  
OF TRADING ACCOUNT HAVE BEEN AUTHORIZED

RESOLVED –

FIRST: That the President or any Vice President of the Corporation, or \_\_\_\_\_ or \_\_\_\_\_ be and they hereby are, and each of them hereby is, authorized and empowered, for which may be margin accounts, with Firstrade Securities Inc. ("Firstrade") for the purpose of purchasing, investing in, or otherwise acquiring, selling (including short-sales), possessing, transferring, exchanging, pledging, or otherwise disposing of, or turning to account of, or realizing upon, and generally dealing in and with any and all forms of securities including, but not by way of limitation, shares, stocks, bonds, debentures, notes scrip, participation certificates, rights to subscribe, options, warrants, certificates of deposit, mortgages, choses in action, evidences of indebtedness, commercial paper, certificates of indebtedness and certificates of interest of any and every kind and

nature whatsoever, secured or unsecured, whether represented by trust, participating and/or other contracts of the future delivery thereof, whether represented by trust, participating and/or other certificates or otherwise.

The fullest authority at all times with respect to any such commitment or with respect to any transaction deemed by any of the said officers and/or agents to be proper in connection therewith is hereby conferred, including authority (without limiting the generality of the foregoing) to give written or oral instructions to Firstrade with respect to said transactions; to borrow money and securities and if transactions to commodities are authorized hereby to borrow commodities and/or future contracts in commodities, and to borrow such money, securities, commodities and/or future contracts in commodities from or through Firstrade, and to secure repayment thereof with the property of the Corporation; to bind and obligate the Corporation to and for the carrying out of any contract, arrangement, or

transaction, which shall be entered into by any such officer and/or agent for and on behalf of the Corporation with or through Firstrade; to pay in cash or by checks and/or drafts drawn upon the funds of the Corporation such sums as may be necessary in connection with any of the said accounts; to deliver securities, contracts and/or commodity futures to Firstrade; to order the transfer or delivery thereof to any other person whatsoever, and/or to order the transfer of record of any securities, contracts or titles, to any name selected by any of the said officers or agents; to affix the corporate seal to any documents or agreements, or otherwise; to endorse any securities and/or contracts in order to pass title thereto; to direct the sale or exercise of any rights with respect to any securities; to sign for the

Corporation all releases, powers of attorney and/or other documents in connection with any such account, and to agree to any terms or conditions to control any such account; to direct Firstrade to surrender any securities to the proper agent or party for the purpose of effecting any exchange or conversion, or for the purpose of deposit with any protective or similar committee, or otherwise; to accept delivery of any securities, contract and/or commodity futures; to appoint any other person or persons to do any and all things which any of the said officers and/or agents is hereby empowered to do, and generally to do and take all action necessary in connection with the account, or considered desirable by such officer and/or agent with respect thereto.

SECOND: That Firstrade may deal with any and all of the persons directly or indirectly by the foregoing resolution empowered, as though they were dealing with the Corporation directly.

THIRD: That the secretary of the Corporation be and hereby is authorized, empowered and directed to certify, under the seal of the Corporation, or otherwise, to Firstrade:

- a) a true copy of these resolution(s);
- b) specimen signatures of each and every person by these resolutions empowered;
- c) a certificate (which, if required by Firstrade, shall be supported by an opinion of the general counsel of the Corporation, or other counsel satisfactory to Firstrade) that the Corporation is duly organized and existing, that its charter empowers it to transact the business by these resolutions defined, and that no limitation has been imposed upon such powers by the By-Laws or otherwise.

FOURTH: That Firstrade may rely upon any certification given in accordance with these resolutions, continuing fully effective unless and until Firstrade shall receive due written notice of a change in or the rescission of the authority so evidenced and the dispatch or receipt of any other form of notice shall not constitute a waiver of this provision, nor shall the fact that any person hereby empowered ceases to be an officer of the Corporation, or becomes an officer under some other title, in any way affect the powers hereby conferred. The failure to supply any specimen signature shall not invalidate any transaction if the transaction is in accordance with authority actually granted.

FIFTH: That in the event of any change in the office or powers of persons hereby empowered, the Secretary shall certify such changes to Firstrade in writing in the manner hereinabove provided, which notification, when received shall be adequate both to terminate the powers of the person theretofore authorized, and to empower the persons thereby substitute.

SIXTH: That the foregoing resolutions and the certificates actually furnished to Firstrade by the Secretary of the Corporation pursuant thereto, be and they hereby are made irrevocable until written notice of the revocation thereof shall have been received by Firstrade.