



Mint Global Execution Services, Inc.

BROKERAGE ACCOUNT APPLICATION FOR PARTNERSHIP

(Account carried with Electronic Transaction Clearing, Inc.)

Important information. To help the government fight the funding of terrorism and money-laundering activities, Federal law requires that Mint Global Execution Services, Inc. verify your identity by obtaining your name, date of birth, address, and a government-issued identification number before opening your account. In certain circumstances, Mint Global Execution Services, Inc. may obtain and verify this information with respect to any person(s) authorized to effect transactions in an account. For certain entities, such as trusts, estates, corporations, partnerships, or other organizations, identifying documentation is also required. Your account may be restricted and/or closed if Mint Global Execution Services, Inc. cannot verify this information. Mint Global Execution Services, Inc. will not be responsible for any losses or damages (including, but not limited to, lost opportunities) resulting from any failure to provide this information, or from any restriction placed upon, or closing of, your account.

ACCOUNT SET UP

This Brokerage Account Application only pertains to Partnerships. Types of ownerships are governed by the laws of your state of residence. If you need information about which are appropriate in your state, please consult your state tax officials or your tax advisor. If your entity is not an LLC, please contact Mint Global Execution Services, Inc. to obtain the appropriate application.

ACCOUNT INSTRUCTIONS AND REQUIRED DOCUMENTATION

The Brokerage Account Application is comprised of three parts: Part 1 - Main Account Information; Part 2 - Partnership Agreement; and Part 3 - Customer and Margin Agreements. Please complete and sign Parts 1 and 2, and read and retain Part 3 for your records.

Please also complete and sign the attached Disclosure and Authorization Form.

In addition, please submit a copy of your Partnership Agreement with your application. Mint Global Execution Services, Inc. will not establish an account until all required documentation is received.

Account Will Trade:

☐ Margin

ENTITY ACCOUNT INFORMATION

Entity Name		Country of Organization	
Tax ID Number	Country of Tax Residence	Trust Date (if applicable)	
Legal Address (No Post Office Boxes)		Mailing Address	
City, State, Postal Code		City, State, Postal Code	
Country		Country	
Business Phone	Cell Phone	E-mail Address	
Entity Industry		Years in Business	

FINANCIAL PROFILE

Annual Income

Estimated Net Worth

Investable/Liquid Assets

Account Funding Source

☐ Asset Appreciation☐ Business Revenue☐ Sale of Assets☐ Investors☐ Other: _____**INVESTMENT PROFILE****Investment Objectives**

Please review the attached Customer Agreement for important information on investment objectives.

Please note: You are required to initial each investment objective below:

☐ Risk Exposure - Speculation☐ Trading Profits☐ Time Horizon – Short Term (Less than 2 years)**General Investment Knowledge**

General

☐

Good

☐

Extensive

Investment Product Knowledge

Please enter the account holder's level of knowledge

Stocks

☐

Good

☐

Extensive

BANK INFORMATION

Name of Bank

Type of Account

☐

Checking

☐

Savings

ABA Number

Account Number

STATEMENTS AND CONFIRMATIONS

Mint Global Execution Services, Inc. will only provide statements and trade confirmations in electronic form. Please initial below to acknowledge that you are aware that all statements and trade confirmations will only be provided electronically.

Initials: _____

PRIVACY

Mint Global Execution Services, Inc. will share your information only when necessary to service your account, or where required by law or regulation. When so sharing your information, Mint Global Execution Services, Inc. adheres to applicable legal and industry standards regarding the protection of personal information. Of course, you are not required to provide or agree to the sharing of any of the personal information that Mint Global Execution Services may request. However, failure to do so may result in Mint Global Execution Services, Inc. being unable to open or maintain your account or to provide services to you. Mint Global Execution Services, Inc.'s Privacy Policy is included in the attached Customer Agreement. Please initial below to acknowledge that you have read the Mint Global Execution Services, Inc. Privacy Policy and that you agree to the sharing of your information as described therein.

Initials: _____

THIRD PARTY ACCESS

(Attach additional sheet, if necessary)

Completing this section will be considered your request for Mint Global Execution Services, Inc. to provide electronic access to the documents checked to the party or parties indicated.

Grant Electronic Access☐

Statements

☐

Trade Confirmations

Name

Address

E-mail Address

Telephone Number(s)

THIRD PARTY ACCESS

(Attach additional sheet, if necessary)

Completing this section will be considered your request for Mint Global Execution Services, Inc. to provide electronic access to the documents checked to the party or parties indicated.

Grant Electronic Access☐

Statements

☐

Trade Confirmations

Name

Address

E-mail Address

Telephone Number(s)

AUTHORIZED INDIVIDUAL INFORMATION

This form is intended to capture required information. Please complete this form for each authorized individual and attach it to the account application. **IMPORTANT INFORMATION ABOUT PROCEDURES FOR OPENING A NEW ACCOUNT** To help the government fight the funding of terrorism and money-laundering activities, Federal law requires that Mint Global Execution Services, Inc. verify your identity by obtaining your name, date of birth, address, and a government-issued identification number before opening your account. In certain circumstances, Mint Global Execution Services, Inc. may obtain and verify this information with respect to any person(s) authorized to effect transactions in an account. For certain entities, such as trusts, estates, corporations, partnerships, or other organizations, identifying documentation is also required. Your account may be restricted and/or closed if Mint Global Execution Services, Inc. cannot verify this information. Mint Global Execution Services, Inc. will not be responsible for any losses or damages (including but not limited to lost opportunities) resulting from any failure to provide this information, or from any restriction placed upon, or closing of, your account.

Authorized Individual 1 – Personal Information

Name

Social Security Number

Date of Birth

Marital Status

Number of Dependents

Legal Address (No Post Office Boxes)

City

State

Postal Code

Cell Phone

Home Phone

Business Phone

Personal E-mail Address

Business E-mail Address

Country(s) of Citizenship

Employer

Occupation/Title

Length of Employment

Employer Address

City

State

Postal Code

Government Identification (Please attach a photocopy)☐

U.S. Driver's License

☐

INS Permanent Resident Alien Card

☐

Passport

☐

Foreign National Identification Document

Identification Number

State/Country of Issuance

Date Issued

Expiration Date

Authorized Individual 1 – Affiliations (Attach additional sheet, if necessary)

Are any principals or authorized individuals a senior political figure, a family member, or relative of a senior political figure?

☐ Yes☐ No

Are any principals or authorized individuals a control person or affiliate of a public company under SEC Rule 144 (such as a director, 10% shareholder, or policy-making officer) or an immediate family member or household member of such a person?

☐ Yes☐ No

If yes, please provide:

Company Name:

Symbol/CUSIP:

Are any principals or authorized individuals affiliated with or employed by a stock exchange member or firm of an exchange, FINRA, or municipal securities Broker/Dealer?

☐ Yes☐ No

If yes, please provide:

Same as Employer:

Affiliated Entity Name:

Address:

City, State, Zip Code:

Authorized Individual 1 – Acknowledgement

I represent that I have read the terms and conditions set forth in the Customer Agreement and Margin Agreement concerning this account and agree to be bound by such terms and conditions as are currently in effect as may be amended from time to time. I also acknowledge that the agreements contain a pre-dispute arbitration clause.

Signature

Date

AUTHORIZED INDIVIDUAL INFORMATION

This form is intended to capture required information. Please complete this form for each authorized individual and attach it to the account application. **IMPORTANT INFORMATION ABOUT PROCEDURES FOR OPENING A NEW ACCOUNT** To help the government fight the funding of terrorism and money-laundering activities, Federal law requires that Mint Global Execution Services, Inc. verify your identity by obtaining your name, date of birth, address, and a government-issued identification number before opening your account. In certain circumstances, Mint Global Execution Services, Inc. may obtain and verify this information with respect to any person(s) authorized to effect transactions in an account. For certain entities, such as trusts, estates, corporations, partnerships, or other organizations, identifying documentation is also required. Your account may be restricted and/or closed if Mint Global Execution Services, Inc. cannot verify this information. Mint Global Execution Services, Inc. will not be responsible for any losses or damages (including but not limited to lost opportunities) resulting from any failure to provide this information, or from any restriction placed upon, or closing of, your account.

Authorized Individual 2 – Personal Information

Name

Social Security Number

Date of Birth

Marital Status

Number of Dependents

Legal Address (No Post Office Boxes)

City

State

Postal Code

Cell Phone

Home Phone

Business Phone

Personal E-mail Address

Business E-mail Address

Country(s) of Citizenship

Employer

Occupation/Title

Length of Employment

Employer Address

City

State

Postal Code

Government Identification (Please attach a photocopy)☐

U.S. Driver's License

☐

INS Permanent Resident Alien Card

☐

Passport

☐

Foreign National Identification Document

Identification Number

State/Country of Issuance

Date Issued

Expiration Date

Authorized Individual 2 – Affiliations (Attach additional sheet, if necessary)

Are any principals or authorized individuals a senior political figure, a family member, or relative of a senior political figure?

☐ Yes☐ No

Are any principals or authorized individuals a control person or affiliate of a public company under SEC Rule 144 (such as a director, 10% shareholder, or policy-making officer) or an immediate family member or household member of such a person?

☐ Yes☐ No

If yes, please provide:

Company Name:

Symbol/CUSIP:

Are any principals or authorized individuals affiliated with or employed by a stock exchange member or firm of an exchange, FINRA, or municipal securities Broker/Dealer?

☐ Yes☐ No

If yes, please provide:

Same as Employer:

Affiliated Entity Name:

Address:

City, State, Zip Code:

Authorized Individual 2 – Acknowledgement

I represent that I have read the terms and conditions set forth in the Customer Agreement and Margin Agreement concerning this account and agree to be bound by such terms and conditions as are currently in effect as may be amended from time to time. I also acknowledge that the agreements contain a pre-dispute arbitration clause.

Signature

Date

AUTHORIZED INDIVIDUAL INFORMATION

This form is intended to capture required information. Please complete this form for each authorized individual and attach it to the account application. **IMPORTANT INFORMATION ABOUT PROCEDURES FOR OPENING A NEW ACCOUNT** To help the government fight the funding of terrorism and money-laundering activities, Federal law requires that Mint Global Execution Services, Inc. verify your identity by obtaining your name, date of birth, address, and a government-issued identification number before opening your account. In certain circumstances, Mint Global Execution Services, Inc. may obtain and verify this information with respect to any person(s) authorized to effect transactions in an account. For certain entities, such as trusts, estates, corporations, partnerships, or other organizations, identifying documentation is also required. Your account may be restricted and/or closed if Mint Global Execution Services, Inc. cannot verify this information. Mint Global Execution Services, Inc. will not be responsible for any losses or damages (including but not limited to lost opportunities) resulting from any failure to provide this information, or from any restriction placed upon, or closing of, your account.

Authorized Individual 3 – Personal Information

Name

Social Security Number

Date of Birth

Marital Status

Number of Dependents

Legal Address (No Post Office Boxes)

City

State

Postal Code

Cell Phone

Home Phone

Business Phone

Personal E-mail Address

Business E-mail Address

Country(s) of Citizenship

Employer

Occupation/Title

Length of Employment

Employer Address

City

State

Postal Code

Government Identification (Please attach a photocopy)☐

U.S. Driver's License

☐

INS Permanent Resident Alien Card

☐

Passport

☐

Foreign National Identification Document

Identification Number

State/Country of Issuance

Date Issued

Expiration Date

Authorized Individual 3 – Affiliations (Attach additional sheet, if necessary)

Are any principals or authorized individuals a senior political figure, a family member, or relative of a senior political figure?

☐ Yes☐ No

Are any principals or authorized individuals a control person or affiliate of a public company under SEC Rule 144 (such as a director, 10% shareholder, or policy-making officer) or an immediate family member or household member of such a person?

☐ Yes☐ No

If yes, please provide:

Company Name:

Symbol/CUSIP:

Are any principals or authorized individuals affiliated with or employed by a stock exchange member or firm of an exchange, FINRA, or municipal securities Broker/Dealer?

☐ Yes☐ No

If yes, please provide:

Same as Employer:

Affiliated Entity Name:

Address:

City, State, Zip Code:

Authorized Individual 3 – Acknowledgement

I represent that I have read the terms and conditions set forth in the Customer Agreement and Margin Agreement concerning this account and agree to be bound by such terms and conditions as are currently in effect as may be amended from time to time. I also acknowledge that the agreements contain a pre-dispute arbitration clause.

Signature

Date

PARTNERSHIP AGREEMENT

Please provide copies of those pages of the Partnership Agreement which provide the official name of the Partnership and all signatures.

The undersigned jointly and severally agree that each of the persons named herein shall have authority on behalf of the Partnership account to buy, sell, trade and otherwise deal in, through Mint Global Execution Services, Inc., stocks, bonds, options and any other securities, listed or unlisted on margin or otherwise (including short sales); to receive on behalf of the Partnership account demands, notices, confirmations, reports, statements of account, and communications of every kind; to receive on behalf of the Partnership account money, securities, and property of every kind, and to dispose of same; to make on behalf of the Partnership account agreements relating to any of the foregoing matters and to terminate or modify same or waive any of the provisions thereof; and generally to deal with Mint Global Execution Services, Inc. on behalf of the Partnership account as fully and completely as if he alone were interested in said account, all without notice to the other or others interested in said account.

The undersigned further authorizes Mint Global Execution Services, Inc., in the event of death or retirement of any of the partners of said Partnership to take such proceedings, require such papers, retain such portion of or restrict transactions in said account as Mint Global Execution Services, Inc. may deem advisable to protect Mint Global Execution Services, Inc. against any liability, penalty or loss under any present or future law or otherwise. It is further agreed that in the event of the death or retirement of any partner of the said Partnership, the remaining partners will immediately cause Mint Global Execution Services, Inc. to be notified of such fact.

Each of the undersigned has signed and completed the respective Account Application which is intended to cover, in addition to the provisions hereof, the terms upon which the Partnership account is to be carried.

This authorization and indemnity is in addition to, and in no way limits or restricts, any rights which Mint Global Execution Services, Inc. may have under any other agreement or agreements between Mint Global Execution Services, Inc. and the undersigned, or any of them, now existing or hereafter entered into, and is binding on the undersigned and their legal representatives, successors, and assigns. This authorization and indemnity is also a continuing one and shall remain in full force and effect until revoked by a written notice, addressed to Mint Global Execution Services, Inc. and delivered to Mint Global Execution Services, Inc.'s main office, at 1717 Route 6, Suite 1, Carmel, New York 10512, signed by the required number of partners.

SIGNATURE OF PARTNER(S)

All general partners, or all partners authorized to establish the account, must sign below. Any information you give to Mint Global Execution Services, Inc. on this account agreement will be subject to verification, and you authorize Mint Global Execution Services, Inc. to obtain a credit report or other financial responsibility report about you at any time. Upon written request, Mint Global Execution Services, Inc. will provide the name and address of the credit reporting agency used.

By: _____

Name: _____

Date: _____

By: _____

Name: _____

Date: _____

CUSTOMER AGREEMENT

To help the government fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account. What this means for you: When you open an account, Mint Global Execution Services, Inc. will ask for your name, address, date of birth and other information that will allow Mint Global Execution Services, Inc. to identify you. Mint Global Execution Services, Inc. will also ask to see your driver's license or other identifying documents.

INVESTMENT PROFILE GUIDE

1. The **Annual Income** category should represent the total annual income of the account holder
2. The **Estimated Net Worth** should represent the total estimated net worth of the account holder including non-liquid assets
3. The **Investable/Liquid Assets** should represent cash and securities and other liquid assets
4. The **Account Funding Source** should represent the source of funds used to establish the account
5. The **Investment Objectives** category selections are defined as follows:
 - **Risk Exposure Speculation**
Identifies clients seeking maximum total return involving a higher degree of risk through investment in a broad spectrum of securities
 - **Trading Profits**
Identifies clients seeking to take advantage of short-term trading opportunities (a high-risk strategy)
 - **Time Horizon – Short Term (Less than 2 Years)**
Identifies clients seeking to grow principal value over a period of less than 2 years, and willing to invest in securities with moderate to above-average historical risk of loss of principal

YOU REPRESENT TO Mint Global Execution Services, Inc.:

1. You represent that you are a legal entity duly formed and organized and are hereby authorized to enter into this agreement with Mint Global Execution Services, Inc., and that the person executing this agreement on your behalf has the full power and authority to execute and deliver this agreement on your behalf. Further you represent unless otherwise disclosed to Mint Global Execution Services, Inc. in writing that you are not affiliated with any exchange; or affiliated with any corporation of which any exchange owns a majority of the capital stock; or affiliated with a member firm or member corporation registered on any exchange; or affiliated with a bank, trust company, insurance company; or affiliated with any corporation, firm, or individual engaged in the business of dealing either as a broker or as principal in securities, bills of exchange, acceptances, or other forms of commercial paper. You further represent that no one except you has an interest in your account or accounts with Mint Global Execution Services, Inc.
2. You understand that Mint Global Execution Services, Inc. provides no investment advice, nor does Mint Global Execution Services, Inc. give advice or offer any opinion with respect to the suitability of any security or order. All transactions will be done only upon your instruction or the instruction of your authorized delegate, except as described in paragraph 6. You further acknowledge that Mint Global Execution Services, Inc. will not provide you with any investment, legal, tax, or accounting advice, that its employees are not authorized to give any such advice, and that you will not solicit or rely upon any such advice from Mint Global Execution Services, Inc. or its employees whether in connection with transactions in or for any of your accounts or otherwise. In making investment, legal, tax, or accounting decisions with respect to transactions in or for your accounts or any other matter, you will consult with and rely upon your own advisors and not upon Mint Global Execution Services, Inc., and Mint Global Execution Services, Inc. shall have no liability therefore.
3. You acknowledge that you have been informed that Mint Global Execution Services, Inc. has entered into a clearing agreement with Electronic Transaction Clearing, Inc., which specifies the functions and responsibilities of Mint Global Execution Services, Inc. with respect to certain matters affecting your account, and that a description of that agreement is available upon your written request.
4. You understand and agree that any telephone conversation with Mint Global Execution Services, Inc. may be recorded for accuracy.
5. In the event you become indebted to Mint Global Execution Services, Inc. in the course of operation of this account, you agree that you will repay such indebtedness upon demand. You agree that, if after demand you fail to pay the indebtedness, Mint Global Execution Services, Inc. may close your account and liquidate the assets in your account in an amount sufficient to pay your indebtedness.

6. You agree, when placing sell orders, to designate whether each order is from a short position or long position, and authorize Mint Global Execution Services, Inc. to mark each order accordingly. If Mint Global Execution Services, Inc. does not already hold securities designated for long accounts when the order is placed, you agree to deliver such securities in good form to Mint Global Execution Services, Inc. on or before the settlement date for the order. If you do not fulfill this agreement, or if Mint Global Execution Services, Inc. is unable to settle any other transaction by reason of your failure to make payment or deliver securities in good form, you authorize Mint Global Execution Services, Inc. to take all steps necessary to complete the transaction, and you will reimburse Mint Global Execution Services, Inc. for all costs, losses or liabilities Mint Global Execution Services, Inc. incurs.
7. You appoint Mint Global Execution Services, Inc. as your agent for the purpose of carrying out your directions with respect to the purchase or sale of securities. To carry out its duties, Mint Global Execution Services, Inc. is authorized to open or close brokerage accounts, place and withdraw orders, receive copies of confirmations and statements of account and take such other steps as are reasonable to carry out your directions. **In the event that you request, and Mint Global Execution Services, Inc. agrees, to provide you with Sponsored Access to one or more Exchanges, you agree that you must maintain, keep current and provide to Mint Global Execution Services, Inc., upon request, a list of individuals authorized to obtain access to the Exchange(s) on your behalf. You further agree that you will familiarize yourself and any authorized individuals with all of the Sponsored Participant's obligations of each Exchange to which you are sponsored by Mint Global Execution Services, Inc., and will assure that any authorized individuals receive appropriate training prior to any use or access to the Exchange(s).** **FURTHER, IF YOU EMPLOY, CONTRACT OR OTHERWISE ENGAGE TRADERS THAT CAN MAKE TRADING DECISIONS ON YOUR BEHALF, YOU AGREE TO PROMPTLY PROVIDE TO Mint Global Execution Services, Inc. A LIST OF SAID TRADERS AND CONTINUE TO PROMPTLY PROVIDE TO Mint Global Execution Services, Inc. ANY ADDITIONAL TRADERS THROUGHOUT THE TERM OF THIS AGREEMENT. YOU RECOGNIZE AND AGREE THAT AT ANY POINT AND TIME THAT Mint Global Execution Services, Inc., IN ITS SOLE DISCRETION, DEEMS A TRADER TO BE IN VIOLATION OF ANY U.S. SECURITIES LAWS AND REGULATIONS, AS WELL AS ANY APPLICABLE STATE AND FEDERAL LAWS, INCLUDING, BUT NOT LIMITED TO, U.S. EFFORTS TO FIGHT THE FUNDING OF TERROISM AND MONEY LAUNDERING, AND THE US PATRIOT ACT AND BANK SECRECY ACT, THAT SUCH TRADER ACCESS MAY BE REMOVED OR BLOCKED.**
8. You authorize Mint Global Execution Services, Inc. to direct any financial institution, to deduct from any checking, savings or other account held by you and apply the amount deducted to (1) any amount owed Mint Global Execution Services, Inc. for any transaction executed for your account which you have not settled on the settlement date, or (2) any amount owed Mint Global Execution Services, Inc. because of any loss in your account, or (3) to maintain your account in compliance with any federal or state laws and regulations or the rules and regulations of any exchange or self-regulatory organization. You authorize any financial institution to rely on a machine copy of this Agreement as authority for such financial institution to make such deductions and to also credit your account for any dividends and interest on securities held in your account with Mint Global Execution Services, Inc..
9. Mint Global Execution Services, Inc. shall not be liable for loss caused directly or indirectly by war, natural disasters, government restrictions, exchange or market rulings or other conditions beyond Mint Global Execution Services, Inc.'s control.
10. You will at all times comply with U.S. securities laws and regulations, as well as any applicable State and Federal laws, including, but not limited to, U.S. efforts to fight the funding of terrorism and money laundering, and US PATRIOT Act and Bank Secrecy Act requirements. You understand that any violation of U.S. securities regulations or other applicable laws will constitute a breach of this agreement and may result in the immediate termination of this Agreement by Mint Global Execution Services, Inc.. You further understand that any fines and or penalties imposed on Mint Global Execution Services, Inc. as a result of a violation by you of any applicable securities regulation or law may, at Mint Global Execution Services, Inc.'s discretion, be passed onto you; and you acknowledge and represent that you will be responsible for payment to Mint Global Execution Services, Inc. of such fines.
11. The reasonable costs of collection of the debit balance and any unpaid deficiency in your accounts, including attorney's fees incurred by Mint Global Execution Services, Inc., shall be reimbursed by you to Mint Global Execution Services, Inc..
12. You understand that all open orders may be reviewed after 30 days. In the event that Mint Global Execution Services, Inc. is unable to confirm with you that the order is still good, Mint Global Execution Services, Inc. may, at its discretion, cancel it.
13. **YOU ACKNOWLEDGE AND AGREE THAT THIS AGREEMENT CONTAINS A PREDISPUTE 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 AN 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**
- **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**

YOU AGREE, AND BY CARRYING AN ACCOUNT FOR YOU, Mint Global Execution Services, Inc. AGREES, THAT ALL CONTROVERSIES WHICH MAY ARISE BETWEEN THE PARTIES CONCERNING ANY TRANSACTION OR CONSTRUCTION, PERFORMANCE, OR BREACH OF THIS OR ANY OTHER AGREEMENT BETWEEN US PERTAINING TO SECURITIES AND OTHER PROPERTY, WHETHER ENTERED INTO PRIOR, ON OR SUBSEQUENT TO THE DATE HEREOF, SHALL BE DETERMINED BY ARBITRATION. ANY ARBITRATION UNDER THIS AGREEMENT SHALL BE CONDUCTED PURSUANT TO THE FEDERAL ARBITRATION ACT AND THE LAWS OF THE STATE OF CALIFORNIA, AND IN ACCORDANCE WITH THE RULES OF THE SELECTED ORGANIZATION. ANY CONTROVERSY BETWEEN YOU AND Mint Global Execution Services, Inc. SHALL BE SUBMITTED TO ARBITRATION BEFORE ANY NATIONAL SECURITIES EXCHANGE ON WHICH A TRANSACTION GIVING RISE TO THE CLAIM TOOK PLACE (AND ONLY BEFORE SUCH EXCHANGE), OR THE LOS ANGELES OFFICE OF THE FINANCIAL INDUSTRY REGULATORY AUTHORITY, INC ("FINRA"). THE AWARD OF THE ARBITRATORS, OR OF THE MAJORITY OF THEM, SHALL BE FINAL, AND JUDGMENT UPON THE AWARD RENDERED MAY BE ENTERED AND ENFORCED IN ANY COURT, STATE OR FEDERAL, HAVING JURISDICTION. NO PERSONS 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: (I) THE CLASS CERTIFICATION IS DENIED, OR (II) THE CLASS IS DECERTIFIED, OR (III) THE CUSTOMER 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 UNDERSTAND THAT ANY COMPLAINTS SHOULD BE DIRECTED TO THE Mint Global Execution Services, Inc. AT 1717 ROUTE 6, SUITE 1, CARMEL, NEW YORK 10512, ATTENTION: COMPLIANCE.

14. Mint Global Execution Services, Inc. has established a Business Continuity Plan that will support its ability to conduct business in the event of a Significant Business Disruption (SBD). This plan is reviewed and updated annually, and can be updated more frequently if necessary. Should Mint Global Execution Services, Inc. be impacted by a SBD, we aim to minimize business interruption as quickly and efficiently as possible. Mint Global Execution Services, Inc. has implemented recovery plans that address each of its SBDs. In the event Mint Global Execution Services, Inc. is not accessible, clients may call its clearing firm, Electronic Transaction Clearing, Inc. directly for assistance at (213) 402-1570. To receive more information about Mint Global Execution Services, Inc.'s Business Continuity Plan, please send your request in writing to: Mint Global Execution Services, Inc., Business Continuity Plan Coordinator, 1717 Route 6, Suite 1, Carmel, New York 10512.
15. You understand that, unless you object in writing, Mint Global Execution Services, Inc. may disclose your name(s), address(es), and securities position to issuers of securities so that you can receive important information about the securities.
16. You are aware that this account is subject to the Mint Global Execution Services, Inc. Pricing Schedule, a copy of which is available upon your request.
17. You understand that, under the Federal Fair Credit Reporting Act, you have the right to notify Mint Global Execution Services, Inc. if you believe Mint Global Execution Services, Inc. has inaccurately reported information about your account to a consumer reporting agency. You understand that under no circumstances will Mint Global Execution Services, Inc. sell, share or otherwise provide your personal information to any non-affiliated third party entity. You acknowledge that Mint Global Execution Services, Inc. has disclosed to you that an investigative consumer report, including information as to your creditworthiness, insurance and credit standing, credit capacity, character, general reputation, personal characteristics, and mode of living will be conducted. You have initiated this transaction and have been advised that you have the right, upon written request within a reasonable time after having received this disclosure, to receive complete and accurate information on the nature and scope of the inquiry, if one is made, and to a written summary of the rights of the consumer under the Fair Credit Reporting Act with any disclosure from a consumer reporting agency. You understand any such requests, notices, or inquiries should include your names(s), current address(es), social security number(s), telephone number(s), and account number, and, in the case of information you believe inaccurately reported, the specific item of dispute. You understand that your request should be sent to Mint Global Execution Services, Inc., 1717 Route 6, Suite 1, Carmel, New York 10512, and should be mailed in a separate envelope and not included with any other correspondence. You understand that, except to the extent required by applicable law, these Fair Credit Reporting Act disclosures do not apply to business to business or commercial transactions.

18. You understand that communications may be sent to you at your current address, which is on file at Mint Global Execution Services, Inc.'s office, or at such other address as you may hereafter give Mint Global Execution Services, Inc. in writing, and all communications, so sent, whether by mail, e-mail, messenger, or otherwise, shall be deemed given to you personally, whether actually received or not.
19. If at any time you shall enter into any transaction for the purchase or resale of an option contract, you hereby agree to abide by the rules of any national securities association, registered securities exchange, or clearing organization applicable to the trading of option contracts and, acting alone or in concert, will not violate the position or exercise limitation rules of any such association, exchange, the Options Clearing Corporation, or other clearing organization.
20. If any provision or condition of this agreement shall be held to be invalid or unenforceable by any court, or regulatory or self-regulatory agency or body, such invalidity or unenforceability shall attach only to such provision or condition. The validity of the remaining provisions and conditions shall not be affected thereby and this agreement shall be carried out as if any such invalid or unenforceable provision or condition were not contained herein.
21. The heading of each provision hereof is for descriptive purposes only and shall not be deemed to modify or qualify any of the rights or obligations set forth in each such provision.
22. You acknowledge that this Agreement cannot be modified by conduct and no failure on the part of Mint Global Execution Services, Inc. at any time to enforce its rights hereunder to the greatest extent permitted shall in any way be deemed to waive, modify, or relax all of the rights granted Mint Global Execution Services, Inc. herein, including those rights vested in Mint Global Execution Services, Inc. to deal with collateral on all loans advanced to you.
23. This agreement shall cover individually and collectively all accounts that you may open or reopen with Mint Global Execution Services, Inc., and shall inure to the benefits of its successors and assigns, whether by Mint Global Execution Services, Inc.'s merger, consolidation, or otherwise, and Mint Global Execution Services, Inc. may transfer your accounts to its successors and assigns, and this agreement shall be binding upon your heirs, executors, administrators, successors, and assigns.
26. You agree that this agreement and its enforcement shall be governed by the laws of the state of California without giving effect to its conflicts of law provisions.
27. This agreement constitutes the full and entire understanding between the parties with respect to the provisions herein, and there are no oral or other agreements in conflict herewith. Any future modification, amendment, or supplement to this Agreement or any individual provision herein can only be in the form of a writing signed by a representative of Mint Global Execution Services, Inc..

PRIVACY POLICY

In order to maintain and service your accounts, Mint Global Execution Services, Inc. will gather and store information about you. This information, collected via the new account application and other account documentation, is critical to open and administer your account. In addition to this collected information, transactions facilitated by you through Mint Global Execution Services, Inc. will be kept for reporting purposes and pursuant to Mint Global Execution Services, Inc.'s regulatory requirements. To provide superior service to clients it is necessary for Mint Global Execution Services, Inc. to share information with third parties it is currently involved with in a contractual relationship (such as your referring financial institution); except in states where this type of sharing is not permitted by law. This sharing of personal information is carried out on a strictly professional basis and is incidental to servicing your account. Mint Global Execution Services, Inc. has received assurances from these third parties that they will not share your personal information. You understand that through the normal course of servicing your account, certain agents and employees may have access to your confidential account information. This may include operations and support personnel, as well as your investment professional. You understand that access to this information is limited and held in the strictest confidence. You understand that information about former customers who do not currently maintain an account relationship with Mint Global Execution Services, Inc. is not shared with any outside party. You understand that due to the partnerships that Mint Global Execution Services, Inc. has with financial institutions to offer investment services, sharing of information with these financial institutions is critical to servicing your account. Allowing this sharing process to continue uninterrupted will allow you to take full advantage of the value offered by the relationship between your financial institution and Mint Global Execution Services, Inc. does offer you the option to limit the sharing of information between Mint Global Execution Services, Inc. and your referring financial institution. If you would like to request that your information not be shared with your referring financial institution or if you would like more information about Mint Global Execution Services, Inc.'s Privacy Policy, your request should be sent to Mint Global Execution Services, Inc. in writing to: Mint Global Execution Services, Inc., Attn: Compliance, 1717 Route 6, Suite 1, Carmel, New York 10512; by e-mail to compliance@stockusa.com; or, telephoning Mint Global Execution Services, Inc. at (800) 874-3039.

SECURITIES INVESTOR PROTECTION CORPORATION ("SIPC")

Mint Global Execution Services, Inc. is a member of SIPC. Securities Investor Protection Corporation ("SIPC") does not cover commodity contracts and options on futures. For information about SIPC or to request an SIPC brochure, please visit www.sipc.org or contact SIPC at (202) 371-8300.

CUSTOMER AGREEMENT ACKNOWLEDGEMENT

This Agreement contains a pre-dispute arbitration clause. I acknowledge that I have received, and read, a copy of this Agreement, and by executing this agreement below I agree to be bound by the terms and conditions contained herein.

Mint Global Execution Services, Inc.

By: _____

Name: _____

Title: _____

Date: _____

By: _____

Name: _____

Title: _____

Date: _____

By: _____

Name: _____

Title: _____

Date: _____

MARGIN AGREEMENT

KEEP A COPY FOR YOUR RECORDS. This is a copy of your Margin Agreement with Mint Global Execution Services, Inc..

1. APPLICABLE RULES AND REGULATIONS

All of your transactions shall be subject to the constitution, rules, regulations, customs, and usages of the exchange or market and its clearing house, if any, where executed by Mint Global Execution Services, Inc. or its agents, including its subsidiaries and affiliates.

2. DEFINITIONS

For purposes of this agreement "securities, commodities, and other property," as used herein shall include, but not be limited to money, securities, and commodities of every kind and nature and all contracts and options relating thereto, whether for present or future delivery.

3. LIEN

All of your securities, commodities, and other property, which Mint Global Execution Services, Inc. may at any time be carrying, or which may at any time be in Mint Global Execution Services, Inc.'s possession or under Mint Global Execution Services, Inc.'s control, shall be subject to a general lien and security interest in Mint Global Execution Services, Inc.'s favor for the discharge of all of your indebtedness and other obligations to Mint Global Execution Services, Inc., without regard to Mint Global Execution Services, Inc. having made any advances in connection with such securities and other property and without regard to the number of accounts you may have with Mint Global Execution Services, Inc.. In enforcing its lien, Mint Global Execution Services, Inc. shall have the discretion to determine which securities and property are to be sold and which contracts are to be closed.

4. LIQUIDATION

If, in its discretion, Mint Global Execution Services, Inc. considers it necessary for protection to require additional collateral, or in the event that a petition in bankruptcy is filed, or the appointment of a receiver is filed by or against you, or an attachment is levied against your accounts, or in the event of death (in case of partnerships), Mint Global Execution Services, Inc. shall have the right to sell any or all securities, commodities, and other property in your accounts with Mint Global Execution Services, Inc., to buy any or all securities, commodities, and other property which may be short in such accounts, to cancel any open orders and to close any or all outstanding contracts, all without demand for margin or additional margin, notice of sale or purchase, or other notice or advertisement. Any such sales or purchases may be made at Mint Global Execution Services, Inc.'s discretion on any exchange or other market where such business is usually transacted, or at public auction or private sale, and Mint Global Execution Services, Inc. may be the purchaser for its own account. It being understood that a prior demand, or call, or prior notice of the time and place of such sale or purchase shall not be considered a waiver of Mint Global Execution Services, Inc.'s right to sell or buy without demand or notice.

5. PAYMENT OF INDEBTEDNESS UPON DEMAND AND LIABILITY FOR COSTS OF COLLECTION

You shall at all times be liable for the payment upon demand of any debit balance or other obligations owing in any of your accounts with Mint Global Execution Services, Inc., and you shall be liable to Mint Global Execution Services, Inc. for any deficiency remaining in any such accounts in the event of the liquidation thereof, in whole or in part, by Mint Global Execution Services, Inc. or by you; and, you shall make payments of such obligations and indebtedness upon demand. The reasonable cost and expense of collection of the debit balance, recovery of securities, and any unpaid deficiency in your accounts with Mint Global Execution Services, Inc., including, but not limited to attorney's fees, incurred and payable or paid by Mint Global Execution Services, Inc. shall be payable to Mint Global Execution Services, Inc. by you.

6. PLEDGE OF SECURITIES

All securities, commodities, and other property now or hereafter held, carried, or maintained by Mint Global Execution Services, Inc. in its possession in any of your accounts may be pledged and re-pledged by Mint Global Execution Services, Inc. from time to time, without notice to you, either separately or in common with other such securities, commodities, and other property for any amount due in your accounts, or for any greater amount, and Mint Global Execution Services, Inc. may do so without retaining into its possession or control for delivery, a like amount of similar securities, commodities, or other property.

7. MARGIN REQUIREMENTS, CREDIT CHARGES, AND CREDIT INVESTIGATION

You will at all times maintain such securities, commodities, and other property in your accounts for margin purposes as Mint Global Execution Services, Inc. shall require from time to time via a margin call or other request, and the monthly debit balances or adjusted balances in your accounts with Mint Global Execution Services, Inc. shall be charged, in accordance with Mint Global Execution Services, Inc. practice, with interest at a rate permitted by laws of the State of California. It is understood that the interest charge made to your account at the close of a charge period will be added to the opening balance for the next charge period unless paid. You acknowledge receipt of the Disclosure Statement, which explains the conditions under which interest can be charged to your account, the annual rate of interest, how debit balances are determined, and the methods of computing interest. You further acknowledge receipt of the separate Margin Disclosure Statement, which provides some basic facts about purchasing securities on margin and alerts you to the risks involved with trading securities in a margin account. In regard to margin calls, whether for maintenance or any other margin call, in lieu of immediate liquidations, Mint Global Execution Services, Inc., may permit you a period of time to satisfy a call. This time period shall not in any way waive or diminish Mint Global Execution Services, Inc.'s right in its sole discretion, to shorten the time period in which you may satisfy the call, including one already outstanding, or to demand that a call be satisfied immediately. Nor does such practice waive or diminish the right of Mint Global Execution Services, Inc. to sell out

positions to satisfy the call, which can be as high as the full indebtedness owed by you. Margin requirements may be established and changed by Mint Global Execution Services, Inc. in its sole discretion and judgment without notice to you. Mint Global Execution Services, Inc. may exchange credit information about you with others. Mint Global Execution Services, Inc. may request a credit report on you and upon request; Mint Global Execution Services, Inc. will state the name and address of the consumer reporting agency that furnished it. If Mint Global Execution Services, Inc. extends, updates, or renews your credit, Mint Global Execution Services, Inc. may request a new credit report without notifying you.

8. ARBITRATION DISCLOSURES

THIS AGREEMENT CONTAINS A PREDISPUTE 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 AN 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**
- **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**

9. ARBITRATION AGREEMENT

ANY CONTROVERSY BETWEEN YOU AND Mint Global Execution Services, Inc. SHALL BE SUBMITTED TO ARBITRATION BEFORE ANY NATIONAL SECURITIES EXCHANGE ON WHICH A TRANSACTION GIVING RISE TO THE CLAIM TOOK PLACE (AND ONLY BEFORE SUCH EXCHANGE), OR THE LOS ANGELES OFFICE OF THE FINANCIAL INDUSTRY REGULATORY AUTHORITY, INC ("FINRA"). NO PERSON SHALL BRING A PUTATIVE OR CERTIFIED CLASS ACTION TO ARBITRATION, NOR SEEK TO ENFORCE ANY PREDISPUTE 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; (I) THE CLASS CERTIFICATION IS DENIED; (II) THE CLASS IS DECERTIFIED; OR (III) THE CUSTOMER 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.

10. LOAN CONSENT

By signing this agreement, you acknowledge that securities not fully paid for by you may be loaned to Mint Global Execution Services, Inc. or loaned out to others.

11. SHAREHOLDER VOTE OF LOANED SECURITIES

In the event your securities have been loaned by Mint Global Execution Services, Inc. on the record date of a shareholder vote involving those securities, you agree that your vote may be reduced to reflect the total amount of your securities loaned by Mint Global Execution Services, Inc..

MARGIN AGREEMENT ACKNOWLEDGEMENT

You accept the terms of the enclosed agreement and you acknowledge you have read and understand the Margin Disclosure Statement which details the risks associated with a Margin Account and, you have read and understand the credit terms explained in the Disclosure Statement.

You also acknowledge that the Margin Agreement contains a pre-dispute arbitration clause.

Mint Global Execution Services, Inc.

By: _____

Name: _____

Title: _____

Date: _____

By: _____

Name: _____

Title: _____

Date: _____

By: _____

Name: _____

Title: _____

Date: _____

DISCLOSURE AND AUTHORIZATION FORM

Please complete one Form for each Principal

I hereby authorize Mint Global Execution Services, Inc. and/or any entity directed by Mint Global Execution Services, Inc. to obtain a credit and background investigation report about me. I understand that a "consumer credit report" includes any information regarding my credit worthiness, credit standing and credit capacity. I further understand and agree that a credit report and/or a background investigation report may be obtained at any time, and any number of times, as Mint Global Execution Services, Inc. in its sole discretion determines is necessary before, during or after my involvement with Mint Global Execution Services, Inc..

I further understand that if I am in the state of California, Minnesota, or Oklahoma, I can receive a free copy of any credit report requested by Mint Global Execution Services, Inc. about me at the same time the report is provided to Mint Global Execution Services, Inc. (check the box below if copy desired).

I hereby authorize all reporting agencies and other persons or entities having information about me to provide such information to Mint Global Execution Services, Inc. or other entity that obtains information for Mint Global Execution Services, Inc.. I further fully release Mint Global Execution Services, Inc., its employees, officers, directors, agents, successors and assigns, and all other parties involved in this background investigation, including but not limited to investigators, credit agencies and those companies or individuals who provide information to Mint Global Execution Services, Inc. concerning me, from any claims or actions for any liability whatsoever related to the process or results of the background investigation.

Applicant Signature		Date	
Applicant Name			
Address			
City	State	Postal Code	
E-mail Address	Cell Phone	Other Phone	
Social Security Number		Birthdate	

California, Oklahoma, and Minnesota only:

☐ Yes, I wish to receive a copy of any consumer credit report requested about me by Mint Global Execution Services, INC..

DISCLOSURE AND AUTHORIZATION FORM

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I hereby authorize all reporting agencies and other persons or entities having information about me to provide such information to Mint Global Execution Services, Inc. or other entity that obtains information for Mint Global Execution Services, Inc.. I further fully release Mint Global Execution Services, Inc., its employees, officers, directors, agents, successors and assigns, and all other parties involved in this background investigation, including but not limited to investigators, credit agencies and those companies or individuals who provide information to Mint Global Execution Services, Inc. concerning me, from any claims or actions for any liability whatsoever related to the process or results of the background investigation.

Applicant Signature		Date	
Applicant Name			
Address			
City	State	Postal Code	
E-mail Address	Cell Phone	Other Phone	
Social Security Number		Birthdate	

California, Oklahoma, and Minnesota only:

☐ Yes, I wish to receive a copy of any consumer credit report requested about me by Mint Global Execution Services, INC..

DISCLOSURE AND AUTHORIZATION FORM

Please complete one Form for each Principal

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I hereby authorize all reporting agencies and other persons or entities having information about me to provide such information to Mint Global Execution Services, Inc. or other entity that obtains information for Mint Global Execution Services, Inc.. I further fully release Mint Global Execution Services, Inc., its employees, officers, directors, agents, successors and assigns, and all other parties involved in this background investigation, including but not limited to investigators, credit agencies and those companies or individuals who provide information to Mint Global Execution Services, Inc. concerning me, from any claims or actions for any liability whatsoever related to the process or results of the background investigation.

Applicant Signature		Date	
Applicant Name			
Address			
City	State	Postal Code	
E-mail Address	Cell Phone	Other Phone	
Social Security Number		Birthdate	

California, Oklahoma, and Minnesota only:

☐ Yes, I wish to receive a copy of any consumer credit report requested about me by Mint Global Execution Services, INC..



CLIENT AUTHORIZATION FORM

The Client Authorization Form identifies the individuals within your Firm who are authorized to provide Mint Global Execution Services, Inc. with instructions, or receive account access from Mint Global Execution Services, Inc., for the areas listed below. Please notify Mint Global Execution Services, Inc. Client Services in the event any changes are required.

AUTHORIZED INDIVIDUALS

Name Title / Position	E-mail	Telephone Number	Locates	View Reports	Communication	ACH/ Wire	Add/Remove Accounts	Office/Firm Administration

AUTHORIZED SIGNATURE

This form must be signed by the person authorized by the Brokerage Agreement, Clearing Agreement, or similarly designated individuals.

By: _____

Name: _____

Title: _____

Date: _____

Minimum Funding Requirement U.S. & Foreign Accounts - \$30,000

SpeedTrader accepts Margin applications from Actively Aggressive, Seasoned, Traders and Pattern Day Traders – Sorry No Cash Accounts Accepted

I/we authorize Electronic transaction Clearing, Inc (ETC) to debit my account for fees as follows:

I/we understand that my/our software account starts the day the password is sent. If the software account starts within the last 3 days of the trading month I/we will receive the software for FREE which includes FREE quotes for that trading month. Trades only count when they are settled. All data feed cancellation requests must be made in writing, no later than 5 trading days before the last trading day of the month, or I/we will be billed for the following month. However, the account can remain open for telephone broker assisted trading.

I/we understand that if I/we trade less than 50,000 shares in listed NMS securities my/our account will be charged a quarterly inactivity fee of \$30. To learn about our platforms and fees visit: <https://speedtrader.com/software-fees/>

Choose Your Trading Platform

DAS Trader Pro (Starts at **\$49 per month Basic Level One) DAS

Trader Pro (Starts at **\$104.00 per month Basic Level Two)

Taktion (Starts at **\$130.00 per month)

**** Level One Free - \$199.00 per month in commission generated**

**** Level Two Free - \$499.00 per month in commission generated**

To learn about DAS Trade Software Fees:

visit <https://speedtrader.com/ExchangeAgreement/>

To learn about our commissions and fees, visit: <https://speedtrader.com/commission-fees/>

The Section Below Must Be Completed

The following must total 100%

I/we intend to trade:

Penny Stocks

ETF's

Small Cap's

Mid Cap's

Large Cap's

Account Holder's Signature	Date	Joint Holder's Signature	Date
Broker's Signature	Date	General Principal's Signature	Date

By signing this application below, you affirm that you have read this application and any required disclosures governing this relationship. You affirm that the information you have provided is accurate and you agree to notify us of any changes in the information provided. I represent that I have read the terms and conditions governing this account and agree to be bound by such terms and conditions as currently in effect and as may be amended from time to time. This account is governed by a pre-dispute arbitration agreement which appears on this application. I acknowledge receipt of the pre-dispute arbitration agreement. Under penalty of perjury and for giving false information, I certify that:

I understand the questions and statements on this application. I have received, read, understand and agree to the Customer Agreement and all the Disclosures that apply to this account, including The: Privacy Statement, CIP Notice, Business Continuity Plan Statement, Margin Disclosure Statement, Day Trading Risk Disclosure, Penny Stock Disclosure, Extended Hours Trading, Payment for Order Flow, Trader Responsibilities Form at: <https://speedtrader.com/info-and-forms/>

Account Holder's Signature	Date	Joint Holder's Signature	Date
Broker's Signature	Date	General Principal's Signature	Date

TRUSTED CONTACT

By choosing to provide information for a Trusted Contact Person ("TCP"), you authorize your Agent to contact and to disclose information about you and your account(s) to the TCP:

- Provide the TCP with information about you or your account(s), but does not provide the TCP with the ability to transact on your account(s)
- Inquire about your current contact information or health status
- Inquire if another person or entity has legal authority to act on your behalf (e.g. legal guardian or conservator, executor, trustee, or holder of a power of attorney)

The TCP must be at least 18 years old, must be someone other than an account owner and cannot be your Investment Advisor and or your Agent. The Agent may provide the TCP information about you or your account(s), but does not allow the TCP the ability to transact on your account(s).

☐ I decline to identify a Trusted Contact at this time.

Name (First, Middle Initial, Last)		Relationship	
Primary Telephone Number		Email Address	
Mailing Address			
City		State	Zip Code
Country	Province	Foreign Postal Code	

We are authorized to contact the trusted person and disclose information about the customer's account to address possible financial exploitation or confirm specifics of the customers contact information, health status, or other information as permitted by FINRA Rule 2165

Signature: _____

Date: _____