

Please answer every question completely or there will be a delay in opening your account.

1. Were you referred to our firm? Yes No
 If no, how did you learn about our firm? _____
 If yes,
 a. By whom and what is their relationship to you? _____
 b. How long have you know this individual? _____
 c. How is our firm related to this individual? _____
 d. Is there a commission sharing relationship between this individual and this firm? Yes No

Individual and Joint Account

2. If you are employed please list the name of the employer, nature of business and the employment date.
- | | |
|--------------------|------------------------------|
| Employer | Employment Date (mm/dd/yyyy) |
| Nature of Business | |

3. If you are self-employed, what is the nature of your business and the source of your funds?
- | |
|--------------------|
| Nature of Business |
|--------------------|

4. If joint applicant is employed please list the name of the employer, nature of business and employment date.
- | | |
|--------------------|------------------------------|
| Employer | Employment Date (mm/dd/yyyy) |
| Nature of Business | |

5. Please list any other sources of wealth: _____

6. Please list any the name of any businesses owned.
- _____
- _____

7. Do you have any existing bank/broker accounts? Yes No
 If yes, please specify.
- | | | |
|---------------------|----------------|------------------|
| Bank/Brokerage Name | Account Number | \$ Account Value |
| Bank/Brokerage Name | Account Number | \$ Account Value |

Corporate Accounts

8. Enter country of incorporation, address of registration, and the names and addresses of at least two people who are officers and have authority over the account.
- | | |
|--------------------------|-------------------------|
| Country of Incorporation | Address of Registration |
| Name of Officer | Address of Officer |
| Name of Officer | Address of Officer |

Investrade Discount Securities

9. List anyone else (not listed above) with authority to effect transactions with respect to this account.

Name of Authorized Person _____
Type of Authority

Name of Authorized Person _____
Type of Authority

Name of Authorized Person _____
Type of Authority

10. Please enter the corporation's business purpose (e.g., real estate sales, liquor store, law service), and the geographic location(s) it serves.

Business Purpose _____
Geographic Location(s) it Serves

Account Activity

11. Will any securities be transferred into this account? Yes No

If yes, please list the name, ticker symbol, quantity, estimated value, and original source of the securities. Are you considered an insider for any of the companies for which securities are being deposited?

Name of Security	Ticker Symbol	Quantity	Estimated Value	Original Source	Insider?
					<input type="checkbox"/> Yes <input type="checkbox"/> No
					<input type="checkbox"/> Yes <input type="checkbox"/> No
					<input type="checkbox"/> Yes <input type="checkbox"/> No
					<input type="checkbox"/> Yes <input type="checkbox"/> No
					<input type="checkbox"/> Yes <input type="checkbox"/> No
					<input type="checkbox"/> Yes <input type="checkbox"/> No
					<input type="checkbox"/> Yes <input type="checkbox"/> No
					<input type="checkbox"/> Yes <input type="checkbox"/> No

12. Other than the securities described above, describe the types of securities that are expected to be held or traded in the account.

13. What is the initial amount you will fund the account with and what is its source?

\$ _____
Initial Amount Source of Funds

14. Do you intend to transfer funds to and from foreign countries? Yes No

15. If yes,

Type of Transfer	How often?	Foreign Country

Enhanced Due Diligence

16. Is this account a foreign bank organized under foreign law and located outside of the United States as defined by 31 C.F.R. 103.11?
 Yes No

17. If this account to be maintained for a current or former Politically Exposed Person or Foreign Public Official? Yes No
If yes, please provide the name(s) of official(s) and the official's immediate family member (including former spouses) and the related foreign political organization.

18. If this account being established for the benefit of a Foreign Financial Institution? Yes No
If yes, please provide the jurisdiction/country that the foreign financial institution is incorporated or chartered.

19. Have you or the person that referred you been involved in any prior or pending criminal or regulatory proceedings or any negative reputation issues (including money laundering and/or fraud)? Yes No
If yes, please describe: _____
