





**Brokerage and Non-Brokerage  
ACCOUNT WORKSHEET**

ACCOUNT NO.           RR NO.

**INVESTMENT OBJECTIVES**

If more than one, number in order of priority.

- Capital Appreciation
- Tax Advantage
- Income
- Growth
- Speculation

**RISK TOLERANCE**

Check One.

- Conservative
- Mod. Conservative
- Moderate
- Mod. Aggressive
- Aggressive

**FINANCIAL PROFILE**

Amounts should represent combined totals for all parties on the account registration. If UGMA/UTMA, refer to custodian if minor has none.

Approximate Annual Income \$ \_\_\_\_\_

Approximate Net Worth \$ \_\_\_\_\_  
(Exclusive of Personal residence and automobiles)

Liquid Assets \$ \_\_\_\_\_

**TAX BRACKET**

Check One.

- 0-15%
- 16-28%
- 29-33%
- Over 34%

**INVESTMENT EXPERIENCE**

Experience	Stocks	Bonds	Mutual Funds Load      No Load	Options*	Annuities	Managed Accounts	Others	None
Years	_____	_____	_____	_____	_____	_____	_____	_____
Amount	_____	_____	_____	_____	_____	_____	_____	_____

**BROKERAGE ACCOUNTS DESIRING OPTIONS TRADING CAPABILITIES**

Type	Years	Avg Trans	Avg Cont/Yr
Index Options	_____	_____	_____
Stock Options	_____	_____	_____
Spreads/Straddles	_____	_____	_____
Buying	_____	_____	_____
Covered Writing	_____	_____	_____
Uncovered Writing	_____	_____	_____

Disclosure sent on: \_\_\_\_\_

**POWER OF ATTORNEY**     Full     Limited  
(Forward copy of Power of Attorney)

Held by \_\_\_\_\_

**Brokerage and Non-Brokerage  
ACCOUNT WORKSHEET**

**ACCOUNT NO.** **RR NO.**

---

**BROKERAGE ACCOUNTS ONLY, IF APPLICABLE**

**FIRST INTERESTED PARTIES**

Duplicate:  Confirms  Statements

---

---

---

**SECOND INTERESTED PARTIES**

Duplicate:  Confirms  Statements

---

---

---

---

---

**EMPLOYMENT INFORMATION**

**CLIENT'S EMPLOYER** \_\_\_\_\_

Address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Date of Employment \_\_\_\_\_

Type of Business \_\_\_\_\_

Profession \_\_\_\_\_

**CO-APPLICANT EMPLOYER** \_\_\_\_\_

Address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Date of Employment \_\_\_\_\_

Type of Business \_\_\_\_\_

Profession \_\_\_\_\_

**Brokerage and Non-Brokerage  
ACCOUNT WORKSHEET**

**ACCOUNT NO.** **RR NO.**

---

**BROKERAGE ACCOUNTS ONLY, IF APPLICABLE**

**FIRST INTERESTED PARTIES**

Duplicate:  Confirms  Statements

---

---

---

**SECOND INTERESTED PARTIES**

Duplicate:  Confirms  Statements

---

---

---

---

---

**EMPLOYMENT INFORMATION**

**CLIENT'S EMPLOYER** \_\_\_\_\_

---

Address \_\_\_\_\_

---

Date of Employment \_\_\_\_\_

Type of Business \_\_\_\_\_

Profession \_\_\_\_\_

**CO-APPLICANT EMPLOYER** \_\_\_\_\_

---

Address \_\_\_\_\_

---

Date of Employment \_\_\_\_\_

Type of Business \_\_\_\_\_

Profession \_\_\_\_\_

**Brokerage and Non-Brokerage  
ACCOUNT WORKSHEET**

ACCOUNT NO.           RR NO.

CLIENTS  Social Security Number  Tax Payer ID         V2020 Client Number

**SIGNATURE PAGE**

**1. CUSTOMER AGREEMENT** To be signed by all parties in order to open and establish an Account.

TO: ADVANTAGE CAPITAL CORPORATION ("ACC")

PERSHING LLC ("Pershing")

(ALL REFERENCES TO PERSHING RELATE TO BROKERAGE ACCOUNTS ONLY)

In consideration of your opening and/or carrying one or more accounts on my behalf, I hereby acknowledge that I have received, read, understand and agree to the terms set forth in the Customer Agreement of this application and the Disclosure of Credit Terms on Transactions.

I hereby acknowledge that ACC is acting as a broker-dealer only with respect to this account. ACC is not acting as an advisor or fiduciary unless I have executed a separate advisory contract.

The Customer Agreement contains a pre-dispute Arbitration Provision. This Provision is contained in this agreement and appears in bold print. I hereby acknowledge by my signature below, receipt of a copy of this agreement.

X \_\_\_\_\_ X \_\_\_\_\_  
CLIENT SIGNATURE DATE JOINT SIGNATURE ( if applicable)

**2. W-9 INFORMATION**

The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. person (including a U.S. resident alien).

Certification Instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the Certification, but you must provide your correct TIN.

X \_\_\_\_\_  
SIGNATURE OF PERSON DATE

**3. MARGIN AGREEMENT** To be signed by all parties in order to open and establish a Margin Account. BROKERAGE ACCOUNTS ONLY. In consideration of your opening and/or carrying one or more accounts on my behalf, I hereby acknowledge that I have read and understand and agree to the terms set forth in the Customer Agreement, Margin Agreement and the Disclosure of Credit Terms on Transactions. Furthermore, Pershing or its successors, whether by merger, consolidation or otherwise, is authorized to lend itself as principal or otherwise, or to others, any securities held by Pershing on margin for any of my accounts or as collateral therefore, either separately or with other securities or the securities of others. I further acknowledge the receipt of the separate Margin Disclosure Statement.

X \_\_\_\_\_ X \_\_\_\_\_  
CLIENT SIGNATURE DATE JOINT SIGNATURE ( if applicable)

**4. OPTION AGREEMENT** To be signed by all parties in order to open and establish an Option Account. BROKERAGE ACCOUNTS ONLY. In consideration of your opening and/or carrying one or more accounts on my behalf, I certify that the financial information is accurate and acknowledge that it is being relied upon by ACC. I have read and understand the Option Agreement, Allocation Disclosure Statement, the Customer Agreement, Margin Agreement and the Disclosure of Credit Terms on Transactions. I agree to the terms of the Option Agreement. I am aware of the risk factors involved in options trading, and I have determined, given my financial situation and investment objectives, that options trading is suitable for me. I will promptly tell ACC of any material change in my financial situation and investment objectives. A copy of the Options Disclosure Document has been received by me.

X \_\_\_\_\_ X \_\_\_\_\_  
CLIENT SIGNATURE DATE JOINT SIGNATURE ( if applicable)

REP _____	SIGNATURE _____	DATE _____
OSJ _____	SIGNATURE _____	DATE _____
OPTIONS DISCLOSURE DOCUMENT SENT (DATE) _____		
ROP APPROVAL _____	DATE _____	OPTIONS APPROVAL LEVEL 1 2 3 (Circle One)

**ALL CLIENTS MUST REFER TO THE IMPORTANT DISCLOSURES INCLUDED IN THE ATTACHED CUSTOMER AGREEMENT**