We would like to Welcome you to Belmont and Goldwyn. As part of Belmont & Goldwyn’s growing list of clients, you will have access to a complete range of investment services and products including an extensive selective of mutual funds, financial planning and investment advice.
IMPORTANT INFORMATION ABOUT PROCEDURE FOR OPENING A NEW ACCOUNT
To help the government fight the funding of terrorism and money laundering activities, the USA Patriot Act requires all financial institutions to obtain, verify and record information that identifies each person that opens an account. What this means for you: When you open an account, we will ask for your name, address, date of birth and other information that will allow us to identify you. We may also ask to see your driver’s license or other identifying documents.

1. **ACCOUNT TYPE**

<table>
<thead>
<tr>
<th>Option</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Individual Account</td>
<td>One person owns the account.</td>
</tr>
<tr>
<td>Joint Account</td>
<td>Rights of Survivorship: If one owner dies, his/her interest passes to surviving owners.</td>
</tr>
<tr>
<td></td>
<td>Community Property: Equal ownership for married couples.</td>
</tr>
<tr>
<td>Custodial Account</td>
<td>Established by an adult for the benefit of a minor; cash account only.</td>
</tr>
</tbody>
</table>

SEcurities Industry regulations require that we collect all of the following information.

<table>
<thead>
<tr>
<th>Primary Account Owner</th>
<th>Co-Owner (or minor if custodial account)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name (first, middle initial, last)</td>
<td>Name (first, middle initial, last)</td>
</tr>
<tr>
<td>Home Street Address</td>
<td>Home Street Address (cannot be a P.O. box)</td>
</tr>
<tr>
<td>City, State, ZIP</td>
<td>City, State, ZIP (cannot be a P.O. box)</td>
</tr>
</tbody>
</table>

2. **ACCOUNT OWNER INFORMATION**

<table>
<thead>
<tr>
<th>City, State, ZIP</th>
<th>Country Code</th>
<th>Home Phone</th>
<th>Country Code</th>
<th>Business Phone</th>
<th>E-Mail Address (required for account updates; refer to section 4)</th>
<th>Date of Birth (mm/dd/yyyy)</th>
<th>Social Security Number or Tax ID Number</th>
<th>Employment Status</th>
<th>Employer</th>
<th>Specific Occupation</th>
<th>Line of Business* (required for self-employed persons)</th>
<th>Business Street Address</th>
<th>City, State, ZIP</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Continued on next page
### Primary Account Owner
(or minor if custodial account)

Are you employed by a registered broker-dealer, a securities exchange, or the FINRA?

- [ ] No
- [ ] Yes *(you must submit a compliance letter with this application)*

Are you an officer, director, 10% shareholder or policymaker of a publicly held company?

- [ ] No
- [ ] Yes *(specify companies)*

Do you have an account at other brokerage firms or mutual fund companies?

- [ ] No
- [ ] Yes *(Full, Discount (traditional))*

### Co-Account Owner, If Applicable
(or custodian if custodial account)

Are you employed by a registered broker-dealer, a securities exchange, or the FINRA?

- [ ] No
- [ ] Yes *(you must submit a compliance letter with this application)*

Are you an officer, director, 10% shareholder or policymaker of a publicly held company?

- [ ] No
- [ ] Yes *(specify companies)*

Do you have an account at other brokerage firms or mutual fund companies?

- [ ] No
- [ ] Yes *(Full, Discount (traditional))*

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### Your Investment Profile

**Securities Industry Regulations Require That We Collect All of the Following Information. For Joint Accounts Please Include Combined Amounts. For Custodial Accounts, Please Complete for the Custodian.**

<table>
<thead>
<tr>
<th>Overall Investment Objective for This Account (choose only one)</th>
<th>Investment Experience</th>
<th>Annual Income</th>
<th>Approximate Net Worth (excluding residence)</th>
<th>Approximate Liquid Net Worth (cash, stocks, etc.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Capital Preservation</td>
<td>Excellent</td>
<td>$200,000+</td>
<td>$1,000,000+</td>
<td>$1,000,000+</td>
</tr>
<tr>
<td>Income</td>
<td>Good</td>
<td>$100,000 - $199,999</td>
<td>$500,000 - $999,999</td>
<td>$500,000 - $999,999</td>
</tr>
<tr>
<td></td>
<td>Limited</td>
<td>$50,000 - $99,999</td>
<td>$100,000 - $499,999</td>
<td>$200,000 - $499,999</td>
</tr>
<tr>
<td></td>
<td>None</td>
<td>$25,000 - $49,999</td>
<td>$50,000 - $99,999</td>
<td>$100,000 - $199,999</td>
</tr>
<tr>
<td></td>
<td></td>
<td>$15,000 - $24,999</td>
<td>$25,000 - $49,999</td>
<td>$50,000 - $99,999</td>
</tr>
<tr>
<td></td>
<td></td>
<td>$0 - $14,999</td>
<td>$0 - $24,999</td>
<td>$0 - $24,999</td>
</tr>
<tr>
<td>Growth</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Speculation</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Where will the assets to fund this account primarily come from (choose only one)?**

- Securities
- Personal Funds
- Real Estate Proceeds
- Income from Earnings
- Insurance Proceeds
- Inheritance / Gift
- Pension / IRA / Retirement Savings

**Other (please specify)**

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**How often do you trade?**

- 0-3 trades per month
- 4-9 trades per month
- 10+ trades per month

**What is the purpose and expected use of the account (choose only one)?**

- Investment account with transfers for expenses
- Long term investment-occasional transfers for expenses
- Professional asset management
- Savings for retirement
- Other

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**Does anyone other than the account holder(s) have trading authorization over the account?**

*Note: Only Individual/Joint accounts are eligible to add a Power of Attorney. Custodial accounts are ineligible for a Power of Attorney.*

- [ ] Yes
- [ ] No

If yes, please complete and mail the Power of Attorney form to add an individual as having trading authority.
SIGN AND DATE APPLICATION
I acknowledge that I have received, read, and agree to be bound by the terms and conditions as currently set forth in the Belmont & Goldwyn Customer Agreement and as amended from time to time. The Belmont & Goldwyn Customer Agreement is available online at www.belmontandgoldwyn.com or by calling +15672512627.

I understand that you will supply my name to issuers of any securities held in my account so that I might receive any important information from the issuers regarding the securities, unless I notify you in writing not to do so.

I acknowledge that I have been informed by Belmont & Goldwyn and that I understand, that securities products, such as stocks, bonds, options, mutual funds, and exchange-traded funds and other securities products and services offered by Belmont & Goldwyn are not insured by the FDIC.

I UNDERSTAND THAT BY CONTINUING TO MAINTAIN MY SECURITIES BROKERAGE ACCOUNT WITHOUT OBJECTING TO REVISED TERMS OF THE CUSTOMER AGREEMENT, I AM ACCEPTING THE TERMS OF THE REVISED CUSTOMER AGREEMENT AND I WILL BE LEGALLY BOUND BY ITS TERMS AND CONDITIONS.

☐ I am not a resident of the USA and have completed and attached a copy of the W-8Ben form that was provided for me in order to claim foreign Status. I have also included a copy of my passport or government issued ID. The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

I UNDERSTAND THAT THIS ACCOUNT IS GOVERNED BY A PREDISPUTE ARBITRATION CLAUSE. I acknowledge that I have received and read a copy of the BELMONT & GOLDWYN AGREEMENT which contains a pre-dispute Arbitration Agreement at Section 8.

Signature of Primary Account Owner  Date

Signature of Primary Account Owner  Date

Print Name

Print Name

If this is a custodial account, we DO NOT require the minor’s signature. An application signed by a minor will cause a processing delay.

Belmont & Goldwyn maintains the highest standards of confidentiality and respect of privacy of client administering safeguards that are designed to relationships. All information disclosed in this account application form will not be disclosed to anyone, except as permitted by law, compliance to regulations or pursuant to client’s consent to fulfill specific instructions. We limit access to your information to those of our employees and service providers who are involved in offering or comply with federal standards to guard your information.
i. **ACCOUNT STATUS:** Belmont & Goldwyn agree to accept and maintain for the undersigned customer one or more accounts and act as a broker or dealer on behalf of the customer concerning the execution and clearance of orders for transactions involving the purchase and sale of financial securities. The customer hereby confirms that all responses made in connection of the Account Agreement are complete and correct and that Belmont & Goldwyn that the customer/customers requesting to open an account are of legal age and sound mind. Unless otherwise indicated in the Customer Application no one except the customer(s) identified in the Account Application have an interest in the account(s). In any event this Customer Agreement and the account(s) permitted hereunder become effective only upon acceptance by an authorized representative of Belmont & Goldwyn at its principal office.

ii. **DEBIT BALANCES:** All monies, securities, trading instruments and any open positions in option contracts, margins, premiums now or at any time during the future being held or safe kept by Belmont & Goldwyn shall constitute as security as part of the customers legal obligations. In the event that the Customer has borrowed funds to purchase on a margin account and is unable to promptly settle the deficit within a timely manner the Customer hereby grants Belmont & Goldwyn. the authorization to offset and or liquidate such assets being held in order to resolve outstanding debt balances. Belmont & Goldwyn.

iii. **COMMISSIONS, FEES AND OTHER COSTS:** The Customer hereby agrees to pay all commission fees encountered when purchasing and offsetting positions acquired through his/her representative on behalf of Belmont & Goldwyn. The Commission Fee is set at a standard rate of 1% when purchasing and 1% when offsetting. The Customer also acknowledges that any bank charges suffered when purchasing or offsetting positions through his/her representative shall be the sole obligation of the Customer.

iv. **EXCHANGE RULES:** All transactions handled by Belmont & Goldwyn, on behalf of the customer shall be subject to the constitution, regulations, customs and interpretations of each financial exchange or market (along with its clearing house, if any) on which the rates are executed and to all international governmental regulations, Belmont & Goldwyn., shall not be liable to the Customer for any action taken in order to comply with such rules.

v. **REPORTS AND NOTICES:** Should inaccuracies or discrepancies appear on a Customer's statement of accounts the customer agrees that it is the Customer's responsibility to inform either by telephone, fax or email immediately upon receipt of the statement. If the Customer does not respond immediately executed orders and statement reports shall be considered as accurate, in doing this Belmont & Goldwyn relieves itself of all responsibility. All reports of inaccuracies must be made to Belmont & Goldwyn within 48 hours at accounts@belmontandgoldwyn.com.
vi. **CALL RECORDING:** The Customer hereby authorizes Belmont & Goldwyn to record telephone conversations between the Customer and Belmont & Goldwyn, regardless of whether a periodic tone signal is used. The Customer consents to the use of such recordings in any forum in connection with resolving disputes. Belmont & Goldwyn and its affiliates may also at their discretion utilize a telephone recording system to place orders on behalf of the Customer.

vii. **AMENDMENTS AND GUARANTEES:** This Agreement hereof reflects the entire agreement between Belmont & Goldwyn, and the Customer and supersedes all prior oral and written agreements between the parties relating to the subject matter and no previsions in any respect shall be waived, augmented or modified by any other party unless in writing and has been signed off by an appointed representative of Belmont & Goldwyn legal department. No one (including Belmont & Goldwyn Associated Persons, Introducing Brokers, Fund Managers, Commodity Trading Advisors or Pool Operators) can guarantee profits or the absence of losses. The Customer to promptly notify Belmont and Goldwyn compliance department if any such guarantee is suggested.

viii. **TERMINATION:** This Agreement may be terminated by Belmont & Goldwyn, or the Customer immediately upon written notice to the other party. In the event of such termination the Customer must immediately liquidate all remaining positions in their Account(s) or transfer such open commodity interest positions to another 1B. Notwithstanding any termination the Customer shall satisfy all liabilities to Belmont & Goldwyn, arising hereunder (including but not limited to the payment of applicable debit balances commission and fees including fees with respect to the transfer of positions to another 1B). This Agreement shall be binding upon Customer's personal representatives and legal successors and shall incur to the benefit of Belmont & Goldwyn successors by merger assignment consolidation. In the event of the Customer's bankruptcy proceedings, death, incompetence, dissolution or failure to provide adequate margin, Belmont & Goldwyn, is authorized to terminate the account with prior notice to the Customer. The termination of this Agreement shall not affect the obligations of the parties arising from transactions entered into prior to such termination. Belmont & Goldwyn, reserves the right to terminate a Customer account at any time for any reason.

ix. **CONSENT TO JURISDICTION:** The Customer agrees that all disputes, claims, actions or proceedings arising directly, indirectly or otherwise in connection without related to or from this Agreement shall be arbitrated only in an arbitration forum agreed with Belmont & Goldwyn. The Customer consents and submits to the jurisdiction of any international court.

x. **EMAIL EXECUTION:** Belmont & Goldwyn accepts documents signed and transmitted by email as original documents. The signature of any person or entity thereon is to be considered as an original signature and the documents transmitted to be considered as an original signature and the document transmitted is to be considered to have the same binding effect as an original signature on an original document. At the request of Belmont & Goldwyn any document sent by email must be re-executed in original form by the persons or entities who executed the email document. No party hereby may raise the use of an email document as a defense to the enforcement of this Agreement or any amendment of other documents executed in compliance with this section.