



BROKERAGE ACCOUNT FORM

Account # _____ Rep # _____

Status: [] NEW ACCOUNT [] UPDATE
Account Type (check one): [] Mutual Fund [] LP/PP [] Insurance (Circle appropriate type): FA, VA, VL, Life [] Other _____

Account Registration (check one):
[] Individual [] Corporate [] IRA (Circle appropriate type): Traditional, Roth, SIMPLE, Coverdell, SEP, Rollover
[] JTWROS [] Partnership [] Qualified Plan (Circle appropriate type): 401k, 403b, PSP, MPP, SIMPLE 401k
[] Tenants in Common [] LLC [] Government Agency
[] Community Property [] Sole Proprietorship [] Guardianship
[] Estate [] Investment Club [] Custodianship/529 Plan (Complete minor's information below)
[] TOD/POD [] Non-profit Organization [] Trust Date of Trust _____

Client Information:

Name of Customer/Custodian (First, MI, Last) Tax ID/Social Security # DOB
Mailing Address (PO Box acceptable) City State/Province Country Zip
Home Phone # E-mail Address Alternate Phone #
Physical Home Address (PO Box not acceptable) City State/Province Country Zip
Marital Status: [] Single [] Married [] Divorced [] Widowed Number of dependents: _____
Citizenship Status: [] US Citizen [] Resident Alien [] Non-Resident Alien Country of Origin _____

Name of Joint Customer/Minor Child (if applicable) Social Security # DOB

Employment Information:

Customer's Employer's Name Position/Title Phone #
Employer's Address City State/Province Country Zip
Joint Customer's Employer's Name Position/Title Phone #

Are you or the joint owner related to an employee of this firm? [] Yes [] No If yes, name of relation: _____
Are you, the joint owner, or members of your immediate families, employed by or a member of a stock exchange or the NASD? [] Yes [] No
Are you or the joint owner employed by or affiliated with a broker-dealer, investment adviser, or banking institution? [] Yes [] No
Will you be giving DISCRETION over this account to another person? [] Yes [] No If yes, name of person: _____
Do you have investment accounts with other broker-dealers, investment advisers, or banking institutions? [] Yes [] No
Are you an Officer, Director, Partner or 10% Shareholder of a publicly traded company? [] Yes [] No
If yes, name of company: _____

Investment Objectives (check one): [] Capital Preservation [] Income [] Growth [] Speculation
[] Growth & Income
Risk Tolerance (check one): [] Low (Conservative) [] Moderate [] High
See definitions on reverse side of this form.
Financial Information (complete all sections):
Investment Experience (in Years) Estimated Annual Income Estimated Net Worth Tax Bracket
[] Stocks [] Bonds [] Under \$25,000 [] Under \$50,000 [] 10%
[] Options [] Futures [] \$25,000-\$49,999 [] \$50,000-\$99,999 [] 15%
[] Commodities [] CDs [] \$50,000-\$99,999 [] \$100,000-\$249,999 [] 25%
[] Mutual Funds [] UITs [] \$100,000-\$249,999 [] \$250,000-\$499,999 [] 28%
[] Insurance [] Annuities [] \$250,000-\$499,999 [] \$500,000-\$999,999 [] 33%
[] Partnerships [] Other [] \$500,000 or more [] \$1,000,000 or more [] 35%
Primary purpose of this account: [] Retirement Savings [] College Savings [] Business Investment
[] Long-term Investing [] Short-term Trading [] Other

PREDISPUTE ARBITRATION AGREEMENT AND DISCLOSURE – THIS AGREEMENT CONTAINS A PREDISPUTE ARBITRATION CLAUSE. BY SIGNING AN ARBITRATION AGREEMENT, THE PARTIES AGREE AS FOLLOWS:

- (A) 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.
- (B) ARBITRATION AWARDS ARE GENERALLY FINAL AND BINDING; A PARTY’S ABILITY TO HAVE A COURT REVERSE OR MODIFY AN ARBITRATION AWARD IS VERY LIMITED.
- (C) THE ABILITY OF THE PARTIES TO OBTAIN DOCUMENTS, WITNESS STATEMENTS AND OTHER DISCOVERY IS GENERALLY MORE LIMITED IN ARBITRATION THAN IN COURT PROCEEDINGS.
- (D) THE ARBITRATORS DO NOT HAVE TO EXPLAIN THE REASON(S) FOR THEIR AWARD.
- (E) THE PANEL OF ARBITRATORS WILL TYPICALLY INCLUDE A MINORITY OF ARBITRATORS WHO WERE OR ARE AFFILIATED WITH THE SECURITIES INDUSTRY.
- (F) 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.
- (G) THE RULES OF THE ARBITRATION FORUM IN WHICH THE CLAIM IS FILED, AND ANY AMENDMENTS THERETO, SHALL BE INCORPORATED INTO THIS AGREEMENT.

I (we) agree that all controversies that may arise between us concerning any transaction or the 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, before the National Association of Security Dealers. The award of the arbitrators is final, or the majority of them, shall be final, and judgment upon the award rendered may be entered in any court, state or federal, having jurisdiction. Further, no person shall bring a putative or certified class action, who is a member of a putative class who has 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.

INVESTMENT OBJECTIVE DEFINITIONS:

- Capital Preservation:** Preserving the value of your existing assets by investing in securities with a smaller degree of risk of loss of principal. May include investing in government bonds or certificates of deposit.
- Income:** Generating current income by investing in securities with a lower degree of risk of loss of principal. May include investing in investment-grade corporate bonds, bond funds, or unit investment trusts.
- Growth:** Generating capital appreciation by investing in securities with a higher degree of volatility and risk of loss of principal. May include investing in stocks or mutual funds.
- Growth & Income:** Generating current capital appreciation and current income by investing in a mix of securities having both a lower and higher degree of risk of loss of principal. Mix of investments may include stocks, bonds, or mutual funds.
- Speculation:** Trading volatile securities with a higher than average possibility of loss of principal with the hope of achieving commensurate gains. May include investing in low-priced securities, options, non-rated bonds, or non-investment grade bonds.

RISK TOLERANCE DEFINITIONS:

- Low:** Prefer investments in securities that have a lower degree of risk associated with them (less likely to lose original principal investment).
- Moderate:** Prefer a mix of investments in securities—some with lower degrees of risk and others with higher degrees of risk associated with them (some possibility of loss of original principal investment).
- High:** Prefer investments in securities having a greater than average degree of risk associated with them (a greater chance of losing some or all of the original principal investment).

BROKERAGE ACCOUNT DISCLOSURE: You are opening a brokerage account and not an advisory account. Our interests may not always be the same as yours. Please ask us to make sure you understand your rights and our obligations to you, including the extent of our obligations to disclose conflicts of interest and to act in your best interest. We are paid both by you and, sometimes, by people who compensate us based on what you buy. Therefore, our profits, and our salespersons’ compensation, may vary by product and over time. You may contact the Compliance Department of Signal Securities, Inc. if you wish to discuss the differences between advisory and brokerage accounts.

I certify that the information contained in each section of this document is accurate and complete. I am aware that the information is being relied upon by Signal Securities, Inc. in servicing my account. I acknowledge that I have read and understand the pre-dispute arbitration agreement above and I agree to resolve any disputes arising out of my account by arbitration.



_____ Signature of Customer	_____ Date	_____ Signature of Joint Customer	_____ Date
_____ Representative’s Signature	_____ Date	_____ Principal’s Signature	_____ Date
_____ Accepting Principal’s Signature	_____ Date		