

**ACCOUNT TYPE**

- |                                             |                                                             |                                          |                                                      |
|---------------------------------------------|-------------------------------------------------------------|------------------------------------------|------------------------------------------------------|
| <input type="checkbox"/> Individual Account | <input type="checkbox"/> Custodial Account                  | <input type="checkbox"/> Traditional IRA | <input type="checkbox"/> Employee Stock Option       |
| <input type="checkbox"/> Joint Account      | <input type="checkbox"/> Corporate, Partnership, Investment | <input type="checkbox"/> Rollover IRA    | <input type="checkbox"/> Money Purchase Pension Plan |
| <input type="checkbox"/> Trust Account      | <input type="checkbox"/> Estate/Fiduciary Account           | <input type="checkbox"/> Roth IRA        | <input type="checkbox"/> SEP IRA                     |
|                                             | <input type="checkbox"/> Profit Sharing                     | <input type="checkbox"/> SIMPLE          |                                                      |

**Account Owner**

**Name** \_\_\_\_\_

S.S.#/Tax ID \_\_\_\_\_ Date of Birth \_\_\_\_\_

**Joint Tenant/Custodian/Additional Trustee**

**Name** \_\_\_\_\_

S.S.#/Tax ID \_\_\_\_\_ Date of Birth \_\_\_\_\_

**OPTION TRADING AND EXPERIENCE**
**Account Owner**
**Write Covered Calls** (Objective: Income, Capital Preservation)

Years Experience	Trades per Year	Contract Size
<input type="checkbox"/> 0 - 5yrs	<input type="checkbox"/> 0 - 25	<input type="checkbox"/> \$0 - \$15,000
<input type="checkbox"/> 5 - 10yrs	<input type="checkbox"/> 26 - 50	<input type="checkbox"/> \$15,001 - \$30,000
<input type="checkbox"/> 10 - 20yrs	<input type="checkbox"/> 51 - 100	<input type="checkbox"/> \$30,001 - \$50,000
<input type="checkbox"/> 20+ yrs	<input type="checkbox"/> 100+	<input type="checkbox"/> \$50,000+

**Spreading Puts/Calls** (Objective: Speculation)

Years Experience	Trades per Year	Contract Size
<input type="checkbox"/> 0 - 5yrs	<input type="checkbox"/> 0 - 25	<input type="checkbox"/> \$0 - \$15,000
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**Buying Puts/Calls** (Objective: Speculation, Hedging)

Years Experience	Trades per Year	Contract Size
<input type="checkbox"/> 0 - 5yrs	<input type="checkbox"/> 0 - 25	<input type="checkbox"/> \$0 - \$15,000
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**Write Uncovered Options** (Objective: Speculation)

Years Experience	Trades per Year	Contract Size
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<input type="checkbox"/> 20+ yrs	<input type="checkbox"/> 100+	<input type="checkbox"/> \$50,000+

**Joint Tenant**
**Write Covered Calls** (Objective: Income, Capital Preservation)

Years Experience	Trades per Year	Contract Size
<input type="checkbox"/> 0 - 5yrs	<input type="checkbox"/> 0 - 25	<input type="checkbox"/> \$0 - \$15,000
<input type="checkbox"/> 5 - 10yrs	<input type="checkbox"/> 26 - 50	<input type="checkbox"/> \$15,001 - \$30,000
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# FINANCIAL PROFILE

\*This information is required to open an account, and is confidential. (Please see the Customer Agreement for an explanation of Investment Objectives.)

**Annual Income** - From all sources (For Joint accounts, combine your income)

0 - \$19,999    \$20,000 - \$49,999    \$50,000 - \$99,999    \$100,000+

**Estimated Net Worth** - (Excluding primary residence)

0 - \$49,999    \$50,000 - \$249,999    \$250,000 - 999,999    \$1,000,000+

**Liquid Net Worth** - (Including cash and securities)

0 - \$24,999    \$25,000 - \$99,999    \$100,000 - \$249,999    \$250,000+

**Marital Status:**    Single    Married    Divorced    Widowed

**Dependents:**

0  
 1  
 2  
 3+

**Tax Bracket:**

10% - 15%    28% - 33%  
 16% - 27%    33% +

**Investment Experience:**

0 - 5yrs  
 5 - 10yrs  
 10 - 20yrs  
 20 +yrs

**Investment Objectives:**

Principal Protection  
1st 2nd 3rd 4th  
Income  
1st 2nd 3rd 4th  
Growth  
1st 2nd 3rd 4th  
Speculation  
1st 2nd 3rd 4th

## TRUSTEE POWERS

**IMPORTANT: FOR TRUST ACCOUNTS ONLY.** Indicate the page number(s) of the Trust Agreement where the option powers are granted to the Trustee(s) and check the following that apply to your Trust. This information is required in order to establish a Trust Account and takes the place of sending additional documentation or copies of your Trust.

**Trust Type**

Trust Account    Money Purchase Pension Plan (self Trustee)    Profit Sharing (self Trustee)    401k (self Trustee)

Pg.#(s) \_\_\_\_\_  Option Transactions-

The authority to engage in the following Option Transactions:

Selling covered calls    Spreading puts and calls  
 Buying puts and calls    Selling uncovered puts and calls (Note: This type of option transaction requires a full copy of the Trust Agreement for StockCross to Review)

## OPTION AGREEMENT & SIGNATURE(S)

I hereby request that StockCross open an options trading account under the registration shown on my account application. I certify that the information I have supplied in the application is wholly true and accurate; I further agree to notify StockCross of any material change in my financial situation or investment objectives, before I place my next order. I UNDERSTAND THAT OPTIONS TRADING IS RISKY. I AM AWARE OF THE LOSSES THAT I MAY REALIZE IN TRADING OPTIONS, AND I HAVE DETERMINED THAT I CAN BEAR THESE LOSSES. I have received and read the Options Agreement, and the StockCross Customer Agreement. I agree to be bound by the terms of that Agreement as it exists and as it may be amended from time to time. If I have not received a copy of the Agreement I will notify StockCross before I place an option order. I understand that upon approval of my application to trade options, StockCross will send me a copy of the Options Disclosure Document, entitled "Characteristics and Risks of Standardized Options". I agree to refrain from placing any option order until I have read this document.

**UNCOVERED OPTION WRITING- SPECIAL STATEMENT FOR WRITERS OF UNCOVERED OPTIONS:**

There are special risks associated with uncovered option writing which expose the investor to potentially significant loss. This type of strategy may therefore not be suitable for all customers approved for option transactions.

- 1) The potential loss of uncovered call writing is unlimited. The writer of an uncovered call is in an extremely risky position, and may incur large losses if the value of the underlying instrument increases above the exercise price.
- 2) As with writing uncovered calls, the risk of writing uncovered put options is substantial. The writer of an uncovered put option bears a risk of loss if the value of the underlying instrument declines below the exercise price. Such loss could be substantial if there is a significant decline in the value of the underlying instrument.
- 3) Uncovered option writing is thus suitable for the knowledgeable investor who understands the risks, has the financial capacity and willingness to incur potentially substantial losses, and has sufficient liquid assets to meet applicable margin requirements. In this regard if the value of the underlying instrument moves against an uncovered writer's option position, StockCross may request significant additional margin payments. If an investor does not make such margin payments, StockCross may liquidate stock or option positions in the investor's account, with little or no prior notice, in accordance with the investor's margin agreement with StockCross.
- 4) For combination writing, where the investor writes both a put and a call on the same underlying instrument, the potential risk is unlimited.
- 5) If a secondary market in options were to become unavailable, investors could not engage in closing transactions, and an option writer would remain obligated until expiration or assignment.
- 6) The writer of an American-style option is subject to being assigned an exercise at any time after he has written the option until the option expires. By contrast, the writer of a European-style option is subject to exercise assignment only during the exercise period.

Signature X	Date	Signature X	Date
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**OFFICIAL USE ONLY**

Date ODD Delivered:   /   /	
Approved by: _____	Approved Date: _____
Approval of:	
<input type="checkbox"/> PUR - Buying	<input type="checkbox"/> COVWR - Writing Covered Calls
<input type="checkbox"/> SPR - Spreads	<input type="checkbox"/> NKDWR - Naked Writing <input type="checkbox"/> NKDPT - Naked Puts