TRADEKING
PO Box 49050 • Charlotte, NC • 28277
Phone 877-495-5464 • Fax 561-988-0131
TradeKing.com • MEMBER FINRA/SIPC

Opening an **Investment Club** account is easy. Simply complete and fax (866-699-0563) or mail us this form. Then, if you have not done so already, create a Username and a Password at www.tradeking.com to access your new account (see instructions below). Finally, call us and ask us to link your new account to your Username.

If the Investment Club is formed as a Corporation, Partnership, or LLC, DO NOT USE THESE FORMS. Use the application forms for that legal entity, accessible from "Apps + Forms" under "Services".

Documents Checklist

CASH ACCOUNT

- Investment Club organizational documents (e.g. charter, by-laws, etc.)
- Investment Account Application signed by Club Agent
- Investment Club Trading Authorization signed by ALL Club members
- Copy of government-issued ID for Agent(s) authorized to open and trade on the account

MARGIN ACCOUNT Additional Documents

- Margin Agreement signed by Club Agent accessible from "Apps + Forms" under "Services"

OPTION ACCOUNT Additional Documents

- Option Agreement signed by Club Agent accessible from "Apps + Forms" under "Services"

PLEASE NOTE:

- A new Trading Authorization is needed for any change of membership or agent
- Check deposits may be accepted only if the check is drawn on an account in the name of the Club

IMPORTANT: The TradeKing Investment Agreement contains the terms and conditions applicable to all TradeKing accounts. Please read it carefully, print a copy and retain it for your records. You can obtain a copy at https://www.tradeking.com/PublicView/services/Services/AppsForms.tmpl or by calling (877) 495-KING.

IMPORTANT INFORMATION ABOUT PROCEDURES FOR OPENING A NEW ACCOUNT: To help the government fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify, and record information that identifies each person who 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.

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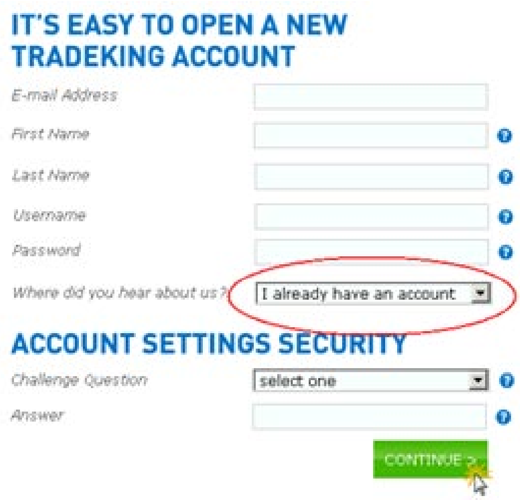
How to create a Username to access the new account that you are opening with this form:

a. Go to www.tradeking.com; Click on "START TRADING" or "Open New Account";

b. Complete **only** the first page of the application to choose your Username, Password, and Account Settings Security and **click Continue**. Stop here. Call us at 877-495-KING (5464) so that we can link your new account(s) to the Username you have just created.



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INVESTMENT CLUB
Investment Account Application

Account Number	Open Date	Broker Rep Code

Investment Club Information

Name of Club	Club Tax ID Number		
Permanent Street Address	City	State	Zip
Mailing Address (If different from permanent address)	City	State	Zip
Date of formation *(mm/dd/yyyy)*			

Day Phone	Evening Phone	Cell Phone	E-MAIL ADDRESS

Nationality of Club: ☐ **U.S**. ☐ **Foreign (please specify):**

Authorized Agent Information (use additional forms for more agents)

Name	Social Security Number		
Permanent Street Address (Cannot be a P.O. Box)	City	State	Zip
Mailing Address (If different from permanent address)	City	State	Zip

Birth Date *(mm/dd/yyyy)*	Number of Dependents	Married? ☐ Yes ☐ No

Day Phone	Evening Phone	Cell Phone	E-MAIL ADDRESS

Citizenship: ☐ **U.S.** ☐ **Foreign (please specify):** ___________________ ☐ **Resident Alien** ☐ **Non-resident Alien** (Non-Resident Alien must submit a W-8 form with this application)

Authorized Agent Employment Information

Employer	Nature of Business	Yrs. Employed	Occupation
Business Address	City	State	Zip Code

Are you or a member of your household affiliated with or employed by 1) a securities Exchange 2) FINRA 3) an Exchange or FINRA member 4) a company which require notification of you opening this account? (if you select yes, please submit an Affiliated Account Authorization form) ☐ **Yes** ☐ **No**

Are you or a member of your household a director, 10% shareholder or policy making officer of a publicly traded company? ☐ **Yes** ☐ **No**

If you answered “Yes” to any of the questions above please provide more information on the affiliation (e.g. affiliated company name, nature of affiliation, etc.)

Are you or any member of your immediate family a senior political figure? ☐ **Yes** ☐ **No**

Account Investment Profile

Annual Income of Club	Net Worth of Club	Liquid Net Worth of Club	Tax Bracket of Club
❑ Under $25,000 ❑ $25,001 - $50,000 ❑ $50,001 - $100,000 ❑ $100,001 - $200,000 ❑ Over $200,001 (please specify) ___________	❑ Under $50,000 ❑ $50,001 - $100,000 ❑ $100,001 - $500,000 ❑ $500,001 - $1,000,000 ❑ Over $1,000,001 (please specify) ___________	❑ Under $25,000 ❑ $25,001 - $50,000 ❑ $50,001 - $100,000 ❑ $100,001 - $200,000 ❑ Over $200,001 (please specify) ____________	❑ 0% ❑ 10% ❑ 25% ❑ 28% ❑ 33% ❑ 35%

Investment Objective of Club	Investment Experience of Authorized Agent	
❑ **Current Income** Preservation of capital with a primary consideration on current income. ❑ **Balanced** A balance between capital appreciation and current income with the primary consideration being current income. ❑ **Growth & Income** A balance between capital appreciation and current income with the primary consideration being capital appreciation. ❑ **Growth** Capital appreciation through quality equity investments and little or no income. ❑ **Maximum Growth** Maximum capital appreciation with higher risk and little to no income. ❑ **Speculation** Maximum total return involving a higher degree of risk through investment in a broad spectrum of securities	❑ Bonds (yrs____) ❑ Stocks (yrs____) ❑ Options (yrs____)	

Please Read and Sign Below

W-9 Certification Under penalties of perjury. I (we) certify that the taxpayer identification number shown above on this form is my correct taxpayer identification number. Unless, otherwise indicated, I (we) certify that I (we) am not subject to backup withholding and I (we) am an U.S. Person (including an U.S. resident alien). **Check the box** ☐ if you are subject to backup withholding under the provisions of the Internal Revenue Service code.

I hereby request that TradeKing and Legent Clearing LLC ("Legent") open an account in the name(s) listed as account owner(s) on this application.

By signing below, I acknowledge that I have received, read, understand and agree to be bound by the terms & conditions as set forth in the Customer Agreement ("Customer Agreement") as currently in effect and as amended from time to time. I represent that I am of required legal age to enter into this Agreement. I understand and acknowledge that Legent does not provide investment, tax, legal, accounting, financial or other advice.

Please Note: Legent Clearing and/or TradeKing will verify information provided on this form through a third-party provider in accordance with the USA Patriot Act.

BY MY SIGNATURE ON THE ACCOUNT APPLICATION, I ACKNOWLEDGE THAT I HAVE RECEIVED, READ, UNDERSTAND AND AGREE TO THE TERMS SET FORTH IN THE FOREGOING AGREEMENT, AND THAT THIS AGREEMENT CONTAINS A PREDISPUTE ARBITRATION CLAUSE AT SECTION 30.

Signature of Authorized Agent	Date		
Signature of TradeKing Broker	Date	Signature of TradeKing General Principal	Date

Account Number________________________

TRADING AUTHORIZATION
FOR INVESTMENT CLUB ACCOUNTS

The undersigned Investment Club members authorize Introducing Broker to open an account for them known as ___________________________________ . The undersigned hereby authorize _________________________ ,

Club Name / Authorized Agent

_______________________________ , _______________________________ , and _______________________________ ,

Authorized Agent / Authorized Agent / Authorized Agent

(the "Authorized Agents"), or any one of them, as their agents and attorneys-in-fact to buy, sell (including short sales) and trade in stocks, bonds or any other securities and/or contracts relating to the same on margin or otherwise for the undersigned's account and risk, and in the undersigned's name or number on Clearing Firm's books in accordance with the terms and conditions set forth in its Standard Account Agreement (including arbitration of disputes) and those terms and conditions otherwise established by Clearing Firm. The undersigned hereby agree to indemnify and hold harmless from, and to pay promptly on demand, any and all losses arising therefrom or any debit balance due thereon.

Introducing Broker is authorized to follow the instructions of Authorized Agents, or any one of them, in every respect concerning the undersigned's account, and make deliveries of securities and payments of monies to them or as they may order and direct. In all matters and things aforementioned, as well as in all other things necessary or incidental to the administration of the account of the undersigned, Authorized Agents, or any one of them, are authorized to act for and on behalf of the undersigned in the same manner and with the same force and effect as the undersigned might or could do, and are authorized to receive on behalf of the undersigned's account demands, notices, confirmations, reports, statements of account and communications of every kind, to make agreements on behalf of the undersigned's account, to terminate or modify same or waive any provisions thereof, and generally to deal on behalf of the undersigned's account as fully and completely as if Authorized Agents were interested in said account; all without notice to the others interested in said account.

The undersigned hereby ratify and confirm any and all transactions with Introducing Broker heretofore or hereafter made by Authorized Agents, or any one of them, for the undersigned's account. This authorization and indemnity is in addition to (and in no way limits or restricts) any rights that Introducing Broker may have under any other agreement between the undersigned and Introducing Broker.

This authorization and indemnity is binding on the undersigned and their estates, and is also a continuing one and shall remain in full force and effect until revoked by the undersigned by a written notice addressed to Introducing Broker and shall continue until notice of incapacity is made in writing by any of the undersigned until receipt by Introducing Broker of written notice therefore; but such written revocation shall not affect any liability in any way resulting from transactions initiated prior to the receipt of such written revocation by Introducing Broker. This authorization and indemnity shall inure to the benefit of Introducing Broker and, of any successor firm, irrespective of any change at any time in the personnel therefore, for any cause whatsoever, and of the assigns of Introducing Broker or any successor firm.

Investments Permitted

The undersigned agree in the entering of purchases and sales of securities as well as all other transactions in the following types of accounts:

☐ **Cash** ☐ **Margin** ☐ **Options:** ☐ Writing Covered ☐ Creating Spreads
☐ Purchased Long ☐ Writing Uncovered

We acknowledge receiving account documentation, agreements and risk disclosure forms including the account “Terms and Conditions.” This authorization is consistent with the terms and conditions set forth in the Investment Club Operating Agreement.

We, the undersigned, jointly and severally indemnify Legent Clearing LLC, and hold Legent Clearing LLC harmless from any liability for effecting any transactions if Legent Clearing LLC acts pursuant to instructions given by the Authorized Agents.

We agree to inform Introducing Broker immediately in writing of any amendment to the Investment Club Operating Agreement, any change in composition of the Authorized Agents or members, or any other event that would materially alter the certifications made above.

Authorized Agents Only

Authorized Agent				
Name			Date	
Permanent Street Address (No P.O. Boxes)		City	State	Zip
Home Phone	Birth Date *(mm/dd/yyyy)*	Social Security Number (If none, you must submit a copy of your passport)		
Signature				

Authorized Agent				
Name			Date	
Permanent Street Address (No P.O. Boxes)		City	State	Zip
Home Phone	Birth Date *(mm/dd/yyyy)*	Social Security Number (If none, you must submit a copy of your passport)		
Signature				

Authorized Agent				
Name			Date	
Permanent Street Address (No P.O. Boxes)		City	State	Zip
Home Phone	Birth Date *(mm/dd/yyyy)*	Social Security Number (If none, you must submit a copy of your passport)		
Signature				

Authorized Agent				
Name			Date	
Permanent Street Address (No P.O. Boxes)		City	State	Zip
Home Phone	Birth Date *(mm/dd/yyyy)*	Social Security Number (If none, you must submit a copy of your passport)		
Signature				

Account Number___________________________

Investment Club Member Signature Page

Name *First, Middle Initial, Last, Suffix*	Name *First, Middle Initial, Last, Suffix*
Signature	Signature
Date	Date

Name *First, Middle Initial, Last, Suffix*	Name *First, Middle Initial, Last, Suffix*
Signature	Signature
Date	Date

Name *First, Middle Initial, Last, Suffix*	Name *First, Middle Initial, Last, Suffix*
Signature	Signature
Date	Date

Name *First, Middle Initial, Last, Suffix*	Name *First, Middle Initial, Last, Suffix*
Signature	Signature
Date	Date

Name *First, Middle Initial, Last, Suffix*	Name *First, Middle Initial, Last, Suffix*
Signature	Signature
Date	Date

Name *First, Middle Initial, Last, Suffix*	Name *First, Middle Initial, Last, Suffix*
Signature	Signature
Date	Date

Name *First, Middle Initial, Last, Suffix*	Name *First, Middle Initial, Last, Suffix*
Signature	Signature
Date	Date

Name *First, Middle Initial, Last, Suffix*	Name *First, Middle Initial, Last, Suffix*
Signature	Signature
Date	Date

Please make additional copies if necessary.

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NOTICE OF CLEARING CONVERSION

At the end of September 2010 TradeKing will be switching clearing firms from Legent Clearing, LLC (Legent), to Penson Financial Services, Inc. (Penson), a subsidiary of Penson Worldwide Inc., who will take over the bookkeeping, custody and other services related to the handling of all TradeKing accounts.

Please note that the conversion has been postponed to the end of September.

Please sign below to accept the conversion of your account from Legent Clearing to Penson and to confirm that you have read the attached original letter from TradeKing's CEO.

I have read and understand the letter dated June 25th from TradeKing's CEO regarding the conversion of TradeKing accounts to Penson.

__________________________________ __________

Signature of Authorized Agent Date

____

Printed Name

June 25, 2010

Dear Valued Client,

I want to tell you about a change that will allow us to continue to improve and broaden our services to you. In about thirty days, TradeKing will be switching clearing firms from Legent Clearing, LLC (Legent), to Penson Financial Services, Inc. (Penson), a subsidiary of Penson Worldwide Inc., who will take over the bookkeeping, custody and other services related to the handling of your account.

What this means for you

Your account(s) will be seamlessly converted in about thirty days. In doing so, you can expect:

- no interruption to your online account
- no change to our execution process
- no fees for the conversion of your account
- no changes to our commissions
- no change to your ACH profile for electronic deposits or withdrawals

Customer accounts carried by Penson are covered by the Securities Investor Protection Corporation (SIPC), which is available to meet customer claims of its members up to $500,000 in cash and securities (including a $100,000 cash maximum). Penson has purchased an additional insurance policy through a group of London Underwriters (with Lloyd's of London Syndicates as the Lead Underwriter) to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to an aggregate of $600 million. This is provided to pay amounts in addition to those returned in a SIPC liquidation. This additional insurance policy is limited to a combined return to any customer from a Trustee, SIPC and London Underwriters of $150 million, including cash of up to $2 million. This additional insurance does not protect against a loss in the market value of securities. Penson is a subsidiary of Penson Worldwide Inc., a publicly traded company.

For the month of August, you will receive two TradeKing account statements. The first will be from our former clearing firm, Legent, showing account activity and the transfer of all your investment positions. The second will be from Penson, showing account activity and the receipt of all your investment positions. After the end of the year you may also receive two tax reports, one from each clearing firm; however, this conversion will have no adverse tax implications.

Your account number will change. Please update any bill-pay information that you may have provided to a third-party financial institution to make deposits into your TradeKing account.

TEL 877.495.5464 (KING) FAX 561.988.0131 5455 N Federal Highway • Suite E • Boca Raton • FL 33487 MEMBER FINRA/SIPC TradeKing.com

There are no charges or fees for the transfer of your account from Legent to Penson. If your account is transferred to Penson and you later determine to transfer to another broker, you may do so at any time. A charge of $50.00 may be assessed for the ACAT transfer of an account to a firm which does not clear through Penson.

If you maintain a Custodial Retirement Plan (Traditional IRA, Roth IRA, SEP, Simple IRA, 401-k, or 403-b) with Delaware Charter Guarantee and Trust as custodian, Penson will become your new custodian. Changes to your adoption agreement can be made by printing out the retirement account form available at http://content.tradeking.com/wiki/x/CV0. **Until such time as Penson receives a new beneficiary designation for your Custodial Retirement Plan, you will be deemed to have consented to maintaining the beneficiaries currently on record with Legent.**

Unless we receive written instructions from you to the contrary, your account will be automatically transferred the weekend of August 6, 2010 to the clearing firm of Penson Financial Services, Inc.

TradeKing and Penson are compliant with SEC Regulation S-P (Privacy of Consumer Financial Information) in connection with the transfer of your account to Penson. Upon the transfer of your account, the confidential information you gave TradeKing regarding you and your account will be given to Penson, which will transmit through written mail its own privacy policy to you after the conversion occurs. Additionally, some of the account documentation previously provided to open your account with Legent will be transferred to Penson. If you do not wish your confidential information to be provided to Penson, you must make arrangements to close your account prior to July 15, 2010. If you do not wish your account to be transferred from Legent Clearing to Penson, you should promptly make arrangements to have the cash and securities held in your account transferred to another broker of your own choosing. Your new broker will provide an Account Transfer form (ACAT) form to facilitate this. Your selected broker will submit the completed ACAT form to make the necessary arrangements.

We are excited about this change and we thank you for the opportunity to serve you. Please read our Clearing Firm Conversion FAQs for more information. If you have additional questions, please feel free to call our offices at (877) 495-5464.

Sincerely,

Don Montanaro
Chairman and CEO

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Deposit Ticket - Request to deposit funds

Mail all checks to:

Regular Mail	Overnight Deliveries
TRADEKING P.O. Box 49050 Charlotte, NC 28277-3432	TRADEKING 13024 Ballantyne Corporate Place, Suite 500 Charlotte, NC 28277

Deposit enclosed check for $ _________.___ If IRA Deposit, specify Tax Year: _____

to My TradeKing Account: _ _ _ _ - _ _ _ _ My Name: ________________________

Make all checks **payable to TRADEKING** and include your account number on the memo line of your check. **TRADEKING does NOT accept third-party checks (checks must be drawn off an account whose owner is the same as the owner of the TradeKing account)**, starter checks, money orders or credit card checks. Funds deposited via check are subject to a 5 business day hold to clear for trading, 10 business days to withdraw by check or ACH, 30 business days to withdraw by wire. Read more about depositing funds at https://www.tradeking.com/FAQ/Accounts/depositsTransfers.tmpl

IRA Accounts – When mailing a check deposit for your IRA please specify the tax year for the contribution on the memo line of the check (if no year is specified, it will be applied to the current year). Indicate on the check if this is a rollover contribution to an IRA. For rollover funds coming from your personal bank account you must submit a rollover certification form which can be found on our website under Services / Apps and Forms.

CASHIER'S and BANK checks – Please instruct your bank to make the check payable to TRADEKING and name you as the REMITTER on the check. Your name must also appear on the TRADEKING account.