



FORTREND  
SECURITIES

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## Fortrend Securities Application Form Checklist

### SMSF with Joint Trustees

Required:

- Fortrend Securities Application form
- Raymond James Application form
- Raymond James Trustee Certification form
- W-8BEN form
- Standing Wire Instructions to Repatriate Funds
- Include 100 points of certified copied photo identification (each trustee)
- Include copy of your superannuation fund trust deed showing title and trustee

Optional:

- Options Agreement

For details of Fortrend's fees and charges, please contact our office and ask to speak to an advisor.



## NEW ACCOUNT APPLICATION FORM

Account Type:

Individual

Self Managed Super Fund with Individual Trustee(s)

Joint

Self Managed Super Fund with Corporate Trustee

Corporate

Account Title

### PERSONAL INFORMATION

Name, or Name of Director

Date of Birth

Spouse's Name, or Name of Additional Director

Date of Birth

Name of Additional Director

Date of Birth

Street Address

City

State

Post Code

Postal Address (if different from above)

City

State

Post Code

Email Address

Mobile Phone

Office Phone

Home Phone

Dependent(s)

Date(s) of Birth

If you are a director of any public companies, please list:

## PROFESSIONAL SERVICE PROVIDERS

Accountant (firm, contact name, address, phone, email)

Australian Stockbroker (firm, contact name, address, phone, email)

Financial Planner (firm, contact name, address, phone, email)

Laywer (firm, contact name, address, phone, email)

Bank Name, Branch

Bank BSB

Bank Account Number

## FAMILY FINANCIAL PROFILE

Job Title, Employer, Address

Gross Income

\$

Spouse's Job Title, Employer, Address

Spouse's Gross Income

\$

Superannuation Details (provider, details of holdings inc. equities, property, cash, etc., is it self-managed?)

Superannuation Value

\$

Personal Residence Gross Value

\$

Debt

\$

Net Value

\$

Investment Property Gross Value

\$

Debt

\$

Net Value

\$

Personal Australian Share Portfolio: Number of Stocks, Strategy (attach statement)

Value

\$

Personal International Share Portfolio: Number of Stocks, Strategy (attach statement)

Value

\$

Details of Other Assets (eg. art, collectables, jewelry, etc.)

Value

\$

Do you have any of the following:

- |   |          |  |          |
|---|----------|--|----------|
| <input type="checkbox"/> Self-Managed Superannuation          | \$ _____ | <input type="checkbox"/> Family Trust    | \$ _____ |
| <input type="checkbox"/> Managed Investment Schemes           | \$ _____ | <input type="checkbox"/> Life Insurance  | \$ _____ |
| <input type="checkbox"/> Other Alternative Investment Schemes | \$ _____ | <input type="checkbox"/> Other Insurance | \$ _____ |
| <input type="checkbox"/> Personal Investment Company          | \$ _____ | <input type="checkbox"/> Inheritance     | \$ _____ |

Cash and Cash Equivalents

\$

**TOTAL NET WORTH**

\$

**FORTREND SECURITIES PTY LTD LEVEL 41, 55 COLLINS STREET MELBOURNE VIC 3000 AUSTRALIA**

PHONE (03) 9650 8400

FACSIMILE (03) 9650 8740

info@fortrend.com.au

www.fortrend.com.au

## FINANCIAL OBJECTIVES

Describe your investment objectives and asset allocation strategy

Investment Experience:  <1 yr  1-5 yrs  5-10 yrs  >10 yrs

Risk Tolerance:  Speculative  High  Moderate  Low

Describe your first transaction (details of initial purchase, including approximate value required)

## SERVICES REQUIRED

- |  |   |
|--|---|
| <input type="checkbox"/> General Portfolio Construction Advice | <input type="checkbox"/> <u>Research and Seminars</u>               |
| <input type="checkbox"/> Foreign Exchange                      | <input type="checkbox"/> Relative Value Model Briefings             |
| <input type="checkbox"/> Margin Lending                        | <input type="checkbox"/> Wealth Management Seminars                 |
| <input type="checkbox"/> Options Trading                       | <input type="checkbox"/> Australian Small Cap Company Presentations |
| <input type="checkbox"/> Visa and Cheque Book Facilities       | <input type="checkbox"/> Daily Market Wrap                          |
| <input type="checkbox"/> Online Trading*                       | <input type="checkbox"/> Relative Value Model Research Report       |
| <input type="checkbox"/> eStatements*                          | <input type="checkbox"/> Company Updates                            |
| <input type="checkbox"/> Medallion Stamp Guarantee             |   |

How did you hear about Fortrend?

\*Please speak to your advisor to activate this service.

Are you a US Citizen?  YES  NO

Are you a Sophisticated Investor?  YES  NO

Include with your application two items of certified photo ID.

I hereby request that Fortrend Securities 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 Fortrend Securities' FSG and 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.

Signature: Account Holder(s), Director(s)

Date

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## FORTREND APPROVAL

Signature: Advisor

Date

Signature: Joe Forster

Date

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Your right to privacy is important to us. You need not give us any of the personal information requested in the form however, without this information, we may not be able to process your account or provide an appropriate level of service. You may request access at any time to personal information held by us about you and ask us to correct it if you believe it is incorrect or out of date. We may disclose your personal information to Fortrend Securities Inc. or the clearing firm. The clearing firm executes trades on behalf of Fortrend's clients, maintains custody of assets and processes dividends and other corporate items. Fortrend Securities Inc. is registered with the US Securities and Exchange Commission (SEC) and is a member of the FINRA and the Securities Investor Protection Corporation (SIPC). Fortrend Securities Pty Ltd is a wholly owned subsidiary of Fortrend Securities Inc. and holds Australian Financial Services License #247261. All advice should be considered General Advice unless we specifically state that we are giving you Personal Advice.

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# Correspondent Account Information and Client Agreement

**New Accounts**  
**Service Center**  
**Scan or Fax 866-406-4235**

**1 2 1 2CF**

Form #

Account #

Branch #

FA #

Speed Dial #

- Open New Account     Update Existing Account

## Account Type and Registration

**Type (Select one)**     Capital Access Account     Standard Account

**Registration (Select one below)**

- |   |   |   |                                    |                                  |
|---|---|---|------------------------------------|----------------------------------|
| <input type="radio"/> Individual                | <input type="radio"/> Tenants in Common | <input type="radio"/> LLC                   | <input type="radio"/> Trust        | <input type="radio"/> IRA        |
| <input type="radio"/> Joint (WROS)              | <input type="radio"/> Partnership       | <input type="radio"/> Unincorporated Assoc. | <input type="radio"/> Estate       | <input type="radio"/> Roth IRA   |
| <input type="radio"/> Joint Tenants by Entirety | <input type="radio"/> Proprietorship    | <input type="radio"/> UTMA/UGMA             | <input type="radio"/> Guardianship | <input type="radio"/> SEP IRA    |
| <input type="radio"/> Community Property        | <input type="radio"/> Corporation       | <input type="radio"/> Qualified Plan        | <input type="radio"/> 529 Plan     | <input type="radio"/> Simple IRA |
|   |   |   | <input type="radio"/> Other _____  |                                  |

**Margin Requested (Subject to Approval, Initials Required):**     No     Yes    \_\_\_\_\_ Client Initials    \_\_\_\_\_ Client Initials

## Account Information

Complete Account Title:

Relationship Link Name (Branch Use Only):

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Related Accounts (Branch Use Only):

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

## Account Owner 1 Information

Tenants in Common  
%

First Name, Middle Initial, Last Name **OR** Entity Name (Trust, Corporation)

S.S. # (555-55-5555) **OR** Tax ID # (55-5555555)

Date of Birth (MM-DD-YYYY)

E-mail Address

Driver's License # **OR**  Passport ID # (optional)

Expiration Date

State/Country

Mailing Address (If PO Box/APO/FPO, provide a physical address below)

City

State

Zip

Legal Address

City

State

Zip

Name of Employer

Retired     Unemployed

Occupation (**most recent, if retired**)

Home Phone Number

Cell Phone Number

Work Phone Number

**Tax Bracket (Select one below):**

- 0%-15%     25.01%-28%  
 15.01%-25%     28.01%-33%     33.01%+

**Marital Status (Select one below):**

- Married     Single

**Citizenship Status (Select one below):**

- US Citizen     Resident Alien  
 Non-Resident Alien (**W-8 Required**)

Account #

### Account Owner 2 Information

Tenants in Common %

First Name, Middle Initial, Last Name OR Entity Name (Trust, Corporation)

S.S. # (555-55-5555) OR Tax ID # (55-5555555) Date of Birth (MM-DD-YYYY) E-mail Address

Driver's License # OR  Passport ID # (optional) Expiration Date State/Country

Mailing Address (If PO Box/APO/FPO, provide a physical address below) City State Zip

Legal Address City State Zip

Name of Employer  Retired  Unemployed Occupation (most recent, if retired)

Home Phone Number Cell Phone Number Work Phone Number

**Tax Bracket (Select one below):**  
 0%-15%  25.01%-28%  
 15.01%-25%  28.01%-33%  33.01%+

**Marital Status (Select one below):**  
 Married  Single

**Citizenship Status (Select one below):**  
 US Citizen  Resident Alien  
 Non-Resident Alien (W-8 Required)

### Account Suitability

<b>Account Financial Information</b>		<b>Investment Experience</b>				
<b>Combined Annual Income</b>	<b>Combined Net Worth</b> <i>Excluding Personal Residence(s)</i>	<i>Provide your experience, if any, with the following investment types</i>				
<input type="radio"/> \$0-\$19,999	<input type="radio"/> \$0-\$19,999		<b>None</b>	<b>Limited</b>	<b>Moderate</b>	<b>Extensive</b>
<input type="radio"/> \$20,000-\$50,000	<input type="radio"/> \$20,000-\$50,000	<b>Equities</b>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<input type="radio"/> \$50,001-\$100,000	<input type="radio"/> \$50,001-\$100,000	<b>Bonds</b>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<input type="radio"/> \$100,001-\$200,000	<input type="radio"/> \$100,001-\$250,000	<b>Options/Futures</b>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<input type="radio"/> \$200,001-\$500,000	<input type="radio"/> \$250,001-\$500,000	<b>Mutual Funds</b>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<input type="radio"/> \$500,001-\$1,000,000	<input type="radio"/> \$500,001-\$1,000,000	<b>Annuities</b>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<input type="radio"/> Over \$1,000,000	<input type="radio"/> \$1,000,001-\$5,000,000	<b>Margin Trading</b>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
	<input type="radio"/> Over \$5,000,000					

<b>Primary Objective and Associated Risk Tolerance</b>				<b>Secondary Objective and Associated Risk Tolerance</b>			
<i>Select only one Objective and Associated Risk Tolerance</i>				<i>Select only one Objective and Associated Risk Tolerance</i>			
<b>Objective</b>	<b>Risk Tolerance</b>			<b>Objective</b>	<b>Risk Tolerance</b>		
<b>Capital Preservation</b>	<input type="radio"/> Low			<b>Capital Preservation</b>	<input type="radio"/> Low		
<b>Income</b>	<input type="radio"/> Low	<input type="radio"/> Medium	<input type="radio"/> High	<b>Income</b>	<input type="radio"/> Low	<input type="radio"/> Medium	<input type="radio"/> High
<b>Growth</b>		<input type="radio"/> Medium	<input type="radio"/> High	<b>Growth</b>		<input type="radio"/> Medium	<input type="radio"/> High
<b>Speculation</b>			<input type="radio"/> High	<b>Speculation</b>			<input type="radio"/> High
<b>Primary Time Horizon</b>				<b>Secondary Time Horizon</b>			
<input type="radio"/> < 5 years	<input type="radio"/> 5 - 10 years	<input type="radio"/> > 10 years		<input type="radio"/> < 5 years	<input type="radio"/> 5 - 10 years	<input type="radio"/> > 10 years	

Account #

**Account Instructions** Please select one of the following options from each category below.

**Securities & Stock Dividend**

- Hold to Street Name / From Account
- Direct Registration Service

**Cash Dividend**

- Hold in Account
- Mail Check to address of record
- Hold Principal Mail Dividends / Interest

**Funds / Cash Sweep**

- Client Interest Program (CIP)
- Raymond James Bank Deposit Program (RJBDP) with Client Interest Program (CIP)
- Raymond James Bank Deposit Program (RJBDP)
- Eagle Class of JPMorgan U.S. Government Money Market Fund (Receipt of prospectus acknowledged)
- Eagle Class of JPMorgan Tax Free Money Market Fund (Receipt of prospectus acknowledged)
- Raymond James Bank, N.A. with Check Writing (With RPS approval only - Separate application required)

**Cost Basis Accounting Methods**

**Equity, Bond or Option**

- First in, First out
- High cost in, First out
- Last in, First out
- Minimum Tax

**Regulated Investment Company (open-end, closed-end & qualified ETF / UIT)**

- First in, First out
- High cost in, First out
- Average Cost
- Last in, First out
- Minimum Tax

*Note: Closed-end funds and qualified ETF/UIT elections will not be reflected until later in 2012.*

**Initial Transaction**

\_\_\_\_\_  Buy  Sell  Deposit  Transfer  
 (Description / Amount)

**Options Account Disclosure (Correspondent Firm will require additional information)**

To the extent that Raymond James & Associates, Inc. ("RJ&A") may purchase, sell, endorse, handle or carry for the account of the undersigned client agrees to the terms and conditions of the "Client Agreement" and the additional terms and conditions as follows:

1. Where the undersigned client is long an option, which is about to expire in the money, RJ&A is authorized in its sole discretion and without notification to exercise the option and liquidate the underlying stocks or instruments using its best efforts. This is no way to be construed as an obligation to sell or exercise such option.
2. The undersigned client acknowledges receipt of and has examined a current Option Disclosure Document issue by the various option exchanges, the FINRA and the Options Clearing Corporation ("OCC") and a descriptive pamphlet on the nature and risks of options prior to the first option transaction. The undersigned client agrees to be bound by the Rules of the FINRA applicable to the trading of options contracts issued by the Option Clearing Corporation, you are aware of and agree to be bound to the rule of the OCC. Furthermore, the undersigned client is aware of and agrees not to violate the position limits established by the FINRA and/or the OCC.

3. It shall be the sole responsibility of the undersigned client to exercise, in a proper and timely manner, any right, privilege or obligation or any put option, call option or other option which RJ&A may purchase, handle, endorse or carry for the account(s) of the undersigned client.

4. Where the undersigned client is a writer of any option on which an exercise notice has been assigned to RJ&A, the undersigned client agrees to be bound by any allocation method utilized by RJ&A, that is fair and equitable, as provided for in the Current Option Disclosure Document. Exercise assignment notices for option contracts are allocated among customer short positions, and are liable for assignment at any time. A more detailed description of our random allocation procedure is available upon request. Further, the undersigned client agrees that, if an exercise notice is assigned to this account, the underlying security or instrument will be delivered to RJ&A or sufficient collateral to promptly margin any short position resulting from such assignment within the stated period of time in the case of a call, and cash will be deposited with RJ&A in the case of a put, sufficient to properly margin the security or instrument.

- Correspondent SROP Use Only - Approved for Equity & Index Options**
- 1. Covered
  - 2. Purchases
  - 3. Put Writing
  - 4. Spreads
  - 5. Uncovered Indexes
  - 6. Foreign Currency Options
  - 7. Purchases to Hedge

Correspondent Firm SROP Signature \_\_\_\_\_

**Capital Access Details (Complete this section only if Capital Access Account is selected on Page 1.)**

**Type** (Select one):  Standard  Standard plus Rewards  Premium  Premium plus Rewards

**Account Identification and Security**

Information provided in this section will be used to protect you and the assets held in your Capital Access Account. You may be asked the following question when you call with inquiries about your account or for identification when transacting purchases with your VISA® Platinum debit card. All card holders will need this information; keep your account identification and security information in a safe place.

**Security Key** \_\_\_\_\_ (minimum of 3 characters/maximum of 8)

**Account Card Holders (Listed on Account Registration)**

Print Name (if different from Legal Name) \_\_\_\_\_  
(maximum of 26 characters, including spaces)

Print Name (if different from Legal Name) \_\_\_\_\_  
(maximum of 26 characters, including spaces)

Account #

### Capital Access Details

#### Additional Card Holders (Card Holder Only)

**For additional card holders not listed on the account registration:** I understand and agree to the terms and conditions in the Capital Access Account Agreement. I also understand that my authority is limited to the use of the Capital Access VISA® Platinum debit card.

Print Name \_\_\_\_\_ Social Security # \_\_\_\_\_

Print Card Name (if different from above) \_\_\_\_\_  
(maximum of 26 characters, including spaces)

Authorized VISA® Platinum debit cardholder signature \_\_\_\_\_ Date \_\_\_\_\_

Print Name \_\_\_\_\_ Social Security # \_\_\_\_\_

Print Card Name (if different from above) \_\_\_\_\_  
(maximum of 26 characters, including spaces)

Authorized VISA® Platinum debit cardholder signature \_\_\_\_\_ Date \_\_\_\_\_

#### For Company or Trust

Double Embossed (Optional) \_\_\_\_\_  
(maximum of 26 characters, including spaces)

#### Power of Attorney for Capital Access Features ONLY

I understand and agree to the terms and conditions in the Capital Access Account Agreement. A completed POA or LPOA (Form #01316) document is required, must include the signature of the Attorney in Fact and be accepted before authorization will take effect.

Print Name \_\_\_\_\_ Social Security # \_\_\_\_\_

Authorized Attorney in Fact Signature \_\_\_\_\_ Date \_\_\_\_\_

#### Check Information

**Check Imprint:**  
(Information appears in upper left corner of check)

\_\_\_\_\_  
(maximum of 35 characters per line)

**Shipping Method:**  
 Regular       First Class       Express Delivery  
(10-14 business days)    (7-14 business days)    (except weekends)

**Additional charges apply for First Class and Express shipping. No charge for Regular Delivery.**

**Alternate Shipping Address:**

Check Type \_\_\_\_\_

Check Design \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

**Wallet, Private Design checks are provided at no charge. Additional check types and designs are available for an additional fee and may be viewed at [www.harland.net](http://www.harland.net)**

Country \_\_\_\_\_

# of Checks \_\_\_\_\_ Starting Check # \_\_\_\_\_ Phone # \_\_\_\_\_

(501-9999)



# Client Agreement

I/we acknowledge and agree that my/our relationship with Raymond James & Associates, Inc. is governed by the provisions of this agreement. Throughout this agreement, "I", "me", "we", "us", "my" and "our" refer to the undersigned and any other actual or beneficial owner of property in this account. "You", "your", "the Firm" and "Raymond James" refer to Raymond James & Associates, Inc. and the introducing broker, if applicable. The terms "property" and "securities" mean securities of all kinds, monies, options and all other property dealt in by brokerage firms.

## Applicable Regulations

I understand and agree that every transaction in my account is subject to the rules or customs in effect at the time of the transaction which, by the terms of the rule or custom, applies to the transaction. These rules or customs include state and federal laws, rules and regulations established by state or federal agencies, the Constitution, rules, customs and usages of the applicable exchange, association, market or clearinghouse or customs and usages of individuals transacting business on the applicable exchange, market or clearinghouse.

If this agreement is incompatible with any rule or custom, or if a rule or custom is changed, this agreement will be automatically modified to conform to the rule or custom. The modification of this agreement shall not affect any of its other provisions.

## Trading Authorizations

I understand that you do not provide any warranty as to the availability, accuracy, completeness, timeliness, correct sequencing of suitability for the particular purpose of any market data provided to my advisors or to me.

## Orders for Delivery and Settlement

I will designate each order to sell as a "short" sell order or a "long" sell order. A "short" sale means the sale of a security not owned by me. You may, at your sole discretion and without prior notice to me, cover any short sale in my account. I understand that "cover" means the purchase, at the market price, of securities that were previously sold short. When I designate a sale as "long", I am promising to you that I own the security and promising that, if the security is not in your possession when I place the sale order, I will deliver the security to you by the settlement date. If I fail to deliver the security to you by the settlement date, you may purchase the security, at the market price, for my account and hold me responsible for any loss, commission and/or fees.

When I order the purchase of a security, I will make payment to you on or before the settlement date. If I fail to make payment by the settlement date for securities purchased, I authorize you to, at your sole discretion and without notice to me, sell the purchased security or any other securities in my accounts to satisfy the debt and I understand that I will be solely responsible for any resulting loss. Alternatively, if I fail to pay for a security purchased by me by the settlement date, I understand that my account can be charged a late fee.

## Fees and Charges

I understand that I will be charged commissions for my orders to buy or sell securities and/or other fees and I understand that your commission and fee rates may be changed with thirty (30) days written notice. I agree to pay the commission and/or fees at the rates in effect at the time. If you must take action against me to collect any outstanding balances or for any other reason relating to my account(s), I agree to pay all costs, including attorney's fees, to do so.

In addition, any fees or expenses for legal and/or accounting services, both internal and external, rendered to Raymond James and Associates, or one of its affiliated entities, in connection with my account shall be charged to and paid by me or charged to and deducted from my account.

## Loans and Collateral

This section applies only to margin, Capital Access Accounts, or if there is a deficit in my account. You may make a loan to me at any time and in any amount you choose, and I understand that any transaction or event resulting in a negative balance in my account acts as a request from me to you for a loan. I understand that you are not obligated to make any loan to me and you may alter the collateral requirements or conditions for loans at any time with or without prior notice to me. I agree to pay interest on any loan or account balance at the rate specified in your Statement of Credit Terms, a copy of which will be sent to me. I understand that from time to time you may change your Statement of Credit Terms, including the interest rate, and I agree to be bound by any revision from its effective date. For purposes of this agreement the legal and statutory rate of interest shall be the rate specified in your Statement of Credit Terms.

As collateral for all loans or any balance due on my account and subject to applicable law, I grant you a security interest in all property held by you or in any of my accounts, whether the property is in your possession now or comes to be in the future. If it is necessary for you to enforce your security interest by the sale of my property, you may select which property is to be sold and at what time and price it will be sold and I will not hold you liable for your decisions.

I understand that when I have a loan with you the property in my account or held by you may be used by you as security (either separately or together with other property) for loans you have or may incur in the future with third parties.

I understand that any loan or any balance due on my account is payable on your demand, and you may demand payment of the full amount of any loan or balance due on my account at any time. If any dividend, interest, distribution or similar payment is made to my account, you are authorized to apply the payment to any balance due in my account but not obligated.

I understand that if a cash debit is generated in my account, and I have margin, you are authorized to cover all or a portion of the cash debit by increasing the debit in my margin account.

#### **Authorization: Accuracy of Reports**

You are authorized to act on oral instructions concerning my account and you are not liable for acting on any false oral instructions if the instructions reasonably appeared to you to be genuine. I authorize you to electronically record any and all conversations between me (or my representative) and you.

I will notify you of any error in a confirmation of order within 4 days of when it is mailed to me. I will notify you of any error in a statement within 10 days of when it is mailed to me. If I do not give you written notification of an error in the time specified above, then I accept the confirmation or statement as correct and I will not later claim the confirmation or statement is incorrect or the transactions shown were unauthorized. I understand that all mail will be sent to the address shown on my New Account Agreement and I will be responsible for receiving mail at that address, unless I give you written notice of a change in address. Clients who establish mutual fund periodic payment plans such as Periodic Investment Plans (PIP), Systematic Withdrawal Plans (SWP) or Periodic Exchange Plan (PEP) through Raymond James will not receive trade confirmations when the transaction is executed. I will instead receive confirmation of the transactions on my monthly statement. By signing the New Account Agreement, I am authorizing my financial advisor to take my verbal instructions.

During the period I maintain an account with you or thereafter, I am authorized to obtain credit reports on me from any credit reporting agency, at your expense. If you request me to do so, I will sign a separate authorization allowing the release of credit information to you.

#### **Authorization to Liquidate Account and Collateral**

Upon the death of any of us, or if you otherwise feel it is necessary you may cancel any unexecuted order and you may also purchase securities to cover the sale of securities or sell securities to satisfy any debt. The decision to cancel an order or buy or sell securities in my account is solely at your discretion and the sale or purchase may be performed in any manner you feel reasonable. Each of our estate(s) and each survivor will be liable to you for the full amount of any debt or loss resulting from the completion of transactions initiated prior to your receipt of a written notice of death or incurred in the liquidation of the account or in the adjustment of interests of the respective parties. Any debt or lien assessed against the account following the death of any of us shall be charged fully against the interests of the survivor(s) and the estate of the decedent. This section does not release the decedent's estate from any liability provided in the agreement.

#### **Introduced Accounts**

I agree that if you are acting as a clearing broker for transactions on my account, you are not responsible for the conduct, representations or recommendations of the introducing broker or its agents.

If you are carrying the account of the undersigned as clearing broker by arrangement with another broker through whose courtesy the account of the undersigned has been introduced to you, then until receipt from the undersigned of written notice to the contrary, **you may accept from such other broker, without inquiry or investigation by you (a) orders for the purchase or sale in said account of securities** and other property on margin or otherwise, **and (b) any other instructions concerning said account.** You shall not be responsible or liable for any acts or omissions of such other broker or its employees.

#### **Joint Accounts**

If this is a Joint Account, we agree that each of us has the authority to act on behalf of all account owners to: order any transaction involving the account, including transactions that result in a negative account balance; receive any property in the account, including cash withdrawals; receive any communications concerning the account including confirmations and statements; and make or agree to any changes in the account or this agreement, including closing the account. You are not required to verify with other account owners the authority for any instructions received from one of us and you do not need to give notice of any transaction to any owner who did not order the transaction. Each and every account owner shall be individually liable for the full amount of any loan or balance due on this account.

If one of us dies, the survivor(s) will give you immediate written notice of the death of any of us.

#### **Binding on Successors**

I understand and agree that this agreement will be binding on my successors (including my executor, heirs or assignees) and I will notify any successor of the agreement's provisions.

#### **Waiver and Modification**

I understand that your failure to exercise any right granted by this agreement or to insist on my strict compliance with any obligation under this agreement will not be considered a waiver of that right or obligation. I also understand if you furnish me with notice on one occasion, you are not obligated to provide me with notice in the future. I understand that no provision of this agreement can be waived or modified unless it is done in writing and signed by your Treasurer, Corporate Counsel or Compliance Director. I further understand that you may modify and amend this agreement upon thirty (30) days written notice to me, and my acceptance of such amendment will be deemed effective by my continued use of the services of the account.

**Severability**

If any provision of this agreement is deemed to be unenforceable for any reason, this will not affect the validity and enforceability of any other provision of this agreement.

**Termination**

You have the right to terminate any of my accounts, including multiple owner account(s), at any time by notice to me.

**Unclaimed Property**

In the event of the abandonment of this account, Raymond James will initiate an escheatment process in accordance with the applicable laws.

**Raymond James Cash Sweep Programs**

Uninvested cash balances in my account(s) can earn income through several options including: Raymond James Bank Deposit Program (RJBDP), Client Interest Program (CIP), Raymond James Bank Deposit Program (RJBDP) with Client Interest Program (CIP), Eagle Class of JPMorgan U.S. Government Money Market Fund, and Eagle Class of JPMorgan Tax Free Money Market Fund. All of these options, including their terms and conditions, are further described in the document entitled *Your Rights and Responsibilities as a Raymond James Client*, which is available online at <http://www.rjf.com/billofrights/index.htm>. If I choose RJBDP I acknowledge that (i) I am solely responsible to monitor the total amount of deposits I have at each Bank in order to determine the extent of FDIC insurance coverage available to me, and (ii) Raymond James is not responsible for any insured or uninsured portion of my deposits at any of the Banks.

**Extraordinary Events**

You shall not be liable for losses caused directly or indirectly by any condition not within your exclusive control, including government restrictions, exchange or market rulings, suspension of trading, war, strikes or extreme market volatility or trading volumes.

**Restrictions**

You may, in your sole discretion, prohibit or restrict trading of securities, substitution of securities, or disbursements in any of my accounts.

**Choice of Law**

This agreement and any accounts opened hereunder shall be construed, interpreted and the rights of the parties shall be determined in accordance with the internal laws of the State of Florida (without referencing Choice of Law provisions of Florida or any other state).

**My Representations**

I represent that I am of the age of majority according to the laws of my state of residence. I further represent that I am not an employee of any exchange or a member firm of any exchange or member of the Financial Industry Regulatory Authority ("FINRA"), or of a bank, trust company or insurance company unless I notify you to that effect. If I become so employed, I agree to notify you promptly. I also represent that no persons other than those signing this agreement have an interest in the account.

**Right to an Attorney**

(a) I understand that when I sign the Client Agreement, this Client Agreement becomes a legally binding contract between you and me. I also understand that this document may alter the rights I might have and may create responsibilities I might otherwise not have had.

(b) I understand that I may, if I wish, consult with an attorney before I sign the Client Agreement and enter into this agreement. In connection with entering into this agreement, you are representing your interests, and not mine. Therefore, to the extent I do not understand any provision of this agreement or its effect, I understand that I should seek the independent advice of an attorney.

**Mutual Fund Networking**

Networking is an automated communication system used to transmit information between the mutual fund and the broker/dealer, allowing us to reflect fund records on the client brokerage statement. All mutual fund positions will automatically be networked, if eligible, unless we receive written instructions from you specifically stating otherwise.

**Payment for Order Flow**

(a) Raymond James may, from time to time, receive payment for order flow. Order flow payment is compensation received as an incentive to direct transactions to various markets. This compensation is received in a number of ways, including direct cash payment ranging from a fraction of a cent to 2.5 cents per share, estimated to equal approximately \$1.0 million annually. In certain instances, reduced transaction fees are provided by various exchanges. While there is no actual agreement, oral or written, Raymond James believes that it is receiving business from specialists at various exchanges as a result of the transaction volume directed to them. Additionally, Raymond James acts as a market maker in a number of Over-The-Counter (OTC) securities. As a result of orders directed to these various markets, trading profits or losses may be generated.

(b) New York Stock Exchange (NYSE) Rule 108(a) allows a specialist to trade on parity with orders in the crowd when the specialist is establishing or increasing its position, as long as floor brokers representing orders in the crowd do not object to such practice. If we or our organization object to a specialist trading on parity with our order to establish or increase its position, the specialist would be obligated to honor such a request and refrain from trading on parity. Please note that we may object to a specialist trading on

parity with our order by communicating our objection to our Raymond James representative. Unless we inform you otherwise, Raymond James will handle our orders as if we have no objection to the specialist trading on parity with our order.

(c) Raymond James' policy is to direct orders, based upon a number of factors and absent specific routing instructions from us, to the market center where it believes that the customer receives the best execution. The potential for receipt of order flow payment, or trading profits, is not a factor in this decision. Raymond James believes, based upon prior experience, that Raymond James' order routing practice provides opportunity for the orders to be executed at prices better than national best bid or best offer.

(d) Raymond James' ongoing review of the markets used allows Raymond James to keep Raymond James' commissions competitive, in addition to ensuring the best execution services for Raymond James' clients.

#### **Arbitration Disclosures**

**This Agreement contains a predispute arbitration clause. By signing an arbitration agreement the parties agree as follows:**

**(1) 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.**

**(2) Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.**

**(3) The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.**

**(4) The arbitrators do not have to explain their reason(s) for their award unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the panel at least 20 days prior to the first scheduled hearing date.**

**(5) The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.**

**(6) 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.**

**(7) The rules of arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this Agreement.**

**No person shall bring a putative or certified class action to arbitration, nor seek to enforce any predispute arbitration agreement against any person who has initiated in court a putative class action or who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until (i) the class certification is denied or (ii) the class is decertified or (iii) the client 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.**

#### **Arbitration and Dispute Resolution**

(a) Any dispute or controversy, either arising in the future or in existence now, between me and you (including your officers, directors, employees or agents and the introducing broker, if applicable) will be resolved by arbitration conducted before the Financial Industry Regulatory Authority (FINRA), subject to the jurisdiction of the Securities and Exchange Commission (SEC) pursuant to the FINRA Arbitration Code, and in accordance with the Federal Arbitration Act (Title 9 of the United States Code).

(b) A court of competent jurisdiction may enter judgment based on the award rendered by the arbitrators.

(c) Nothing in this agreement shall be deemed to limit or waive the application of any relevant state or federal statute of limitation, repose or other time bar. Any claim made by either party to this agreement which is time barred for any reason shall not be eligible for arbitration.

#### **Business Continuity Planning - Disclosure Statement**

Raymond James has established the Business Continuity Planning (BCP) Department, a dedicated team of professionals that oversees the Firm's business continuity management strategy. The BCP Department works closely with business units and the Information Technology Department to employ a standardized framework for building, maintaining, and testing business continuity plans. The plans are created using an all hazards approach, including baseline requirements and strategies that address incidents of varying scope. Plans are designed to allow for continued operations of critical business functions, which include providing clients with prompt access to their funds and securities.

#### **Incident Management**

A Corporate Crisis Management Team (CCMT) comprised of senior management representing key areas of the Firm has been established to manage incidents that might impact the Firm's associates and clients. The CCMT will assess and direct the Firm's response to an incident, ensuring the safety and security of all associates and continuity of critical processes. As part of the overall

BCP strategy, Raymond James maintains geographically dispersed operational locations to diminish risks posed by local and regional disruptions. In the event of an emergency at the home office, local staff is available at off-site locations to continue production work.

### **Technology and Data Recovery**

Raymond James employs a dual data center strategy in which critical client data and systems are replicated to an alternate location ensuring accessibility. In addition, data retention and backup procedures are in place, including tape backup and offsite storage, offering a tertiary layer of data accessibility should the need arise. It is the Firm's goal to recover from an event requiring a processing switch to the alternate site within 12 hours or less. Due to the unpredictable nature of events causing significant business disruptions, the Firm cannot guarantee that systems will always be available or recoverable after such events.

### **Contacting Raymond James**

Clients can obtain information regarding the status of their accounts and access to their funds and securities by contacting their financial advisor. If their financial advisor is unavailable, clients can contact Client Services at 1-800-647-7378. Up-to-date information regarding the operating status of the Firm can be obtained from <http://www.raymondjames.com>.

The Firm's business continuity plans are subject to modification. The BCP Disclosure Statement, including any updates or amendments, is available at [http://www.raymondjames.com/business\\_continuity\\_planning.htm](http://www.raymondjames.com/business_continuity_planning.htm). Hard copies can be obtained upon request by contacting your Raymond James representative.

## **Raymond James Capital Access Account Agreement**

This agreement, including the terms and conditions provided by the Raymond James Capital Access Account Check & VISA® Platinum Card Agreement and its accompanying financial services, sets forth the terms and conditions governing the relationship between Raymond James and its affiliates and the person(s) signing this document (hereinafter referred to as "the client").

Upon opening a Capital Access Account, Raymond James may provide the client with personalized checks and the client may apply for a Capital Access VISA Platinum debit card (the "Card") issued through Raymond James Bank, N.A. A Personal Identification Number ("PIN") will be issued to the client for use in conjunction with accessing the Capital Access Account.

In return for these and other services, the client understands and agrees to pay certain fees, including an annual Capital Access Account membership fee. In addition, if the client selects the rewards program and agrees to the terms and conditions of the program, all fees will be charged to the client's account. The client further understands that any additional features selected could incur additional costs.

The client agrees to write checks on a Raymond James Capital Access Account maintained at the Banking Vendor and may use these checks only in conjunction with his or her Capital Access Account and only amounts within authorized limits. The client also understands that Raymond James may reasonably withhold access to his or her funds until it is satisfied that checks placed into the client's account have been collected. Raymond James may satisfy amounts that are owed by the client in connection with his or her Capital Access Account in the following order of priority: from available Client Interest Program ("CIP"), Raymond James Bank Deposit Program (RJBDP), Eagle Shares of JPMorgan Money Market Funds, or tax-free money market balances, if any, held in the account, and should these sources prove insufficient, from a margin loan to the client within the available margin loan value of securities in the client's account (provided this option was chosen and the account was approved for margin). Moreover, the client authorizes the Banking Vendor to honor checks (a) bearing only one signature and (b) bearing a signature with an approved name, a middle initial or a name deleted or added if the Banking Vendor otherwise reasonably believes the signature to be authorized.

The client understands that the Card will allow card transactions to the "Authorization Limit" as defined in the Raymond James Capital Access Account Check & VISA Platinum Card Agreement. The client agrees to have sufficient available assets to make payment in full for card transactions as they become available and understands that if he or she has insufficient available assets the card may be suspended or canceled. The client also agrees that the use of any card in connection with his or her Capital Access Account will also be governed by the terms and conditions contained in the Raymond James Capital Access Account Check & VISA Platinum Card Agreement that they will receive after the Card application is accepted by Raymond James Bank, N.A. and the Banking Vendor.

The Ohio laws against discrimination require that all creditors make credit equally available to all creditworthy clients and that credit reporting agencies maintain separate credit histories on each individual upon request. The Ohio Civil Rights Commission administers compliance with this law.

### **Account Description**

The Capital Access Account integrates a conventional securities account with a cash management account, which provides a VISA Platinum debit card and check writing services. As part of that account, cash balances awaiting investment will earn interest daily in the Raymond James CIP, RJBDP, Eagle Shares of JPMorgan Money Market Funds, or tax-free money market fund.

### **Additional Terms and Conditions**

The client hereby requests Raymond James to open cash, margin and/or short accounts, the Banking Vendor to issue the checks and Raymond James Bank, N.A. to issue the VISA Platinum debit card(s) in the name(s) set forth on this application. The client agrees to be bound by the terms and conditions of the aforesaid account as currently in effect and as amended from time to time.

For Joint Accounts: This application is made by both clients, as signed, and if approved, account terms and conditions will apply to both clients and both will be jointly and individually liable for any amounts due at any time. Both clients will be bound by their instructions regarding their account, checks or VISA Platinum debit card(s), if applicable, given either jointly or individually.

Raymond James Bank, N.A. and the Banking Vendor reserve all of its rights in connection with the issuance, processing or termination of VISA Platinum debit card(s) and checks.

**Termination of a Capital Access Account**

The client's participation in the Capital Access Account, or any feature offered in connection with the account, may be terminated at any time by Raymond James or the client. The client, however, shall remain responsible for authorized charges arising before or after termination.

**Credit Reports**

The client authorizes Raymond James to request a consumer report about him or her from a reporting agency for the purposes of considering the application in the Capital Access Account, reviewing or collecting any account opened for the client, or for any other legitimate business purpose. Upon the client's written request, Raymond James will inform the client of the name and address of each consumer-reporting agency from which it obtained a consumer report, if any, in connection with the client's application or accounts.

**Liability**

The client agrees that he or she will be personally liable for, and will indemnify Raymond James, Raymond James Bank, N.A. and the Banking Vendor, against any losses in connection with any and all Capital Access transactions (including securities transactions, use of the check writing privilege, the Card and the line of credit), effected by any person signing the Capital Access Account Application or any person to whom the client gives written authority to use his or her Capital Access Account.

The client also agrees that no card(s) or checks issued in connection with his or her Capital Access Account can be used directly to purchase securities or any other products or services available through Raymond James or our correspondents.

The client shall at all times be liable for the payment of any amount advanced, any debit balance or other obligations owing in any of his or her accounts with Raymond James, and the client shall be liable to Raymond James for any deficiency remaining in such account(s) in the event of a liquidation thereof, in whole or in part, by the client or Raymond James. The client shall make payments of any such debit balance, obligation, money deficiency, indebtedness, including interest and commissions, upon demand, and any costs of collection, including attorney's fees. It is further understood that Raymond James may request from any service provider or their successor, copies of checks, and/or Visa or Bill Payment drafts processed from the client's Capital Access Account.

# FACTS

## WHAT DOES RAYMOND JAMES DO WITH YOUR PERSONAL INFORMATION?

### Why?

Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share and protect your personal information. Please read this notice carefully to understand what we do.

### What?

The types of personal information we collect and share depend on the product or service you have with us. This information can include:

- Social Security number and investment experience
- Assets and income
- Account balances and account transactions

When you are **no longer** our customer, we continue to share your information as described in this notice.

### How?

All financial companies need to share customer's personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customer's personal information; the reasons Raymond James chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does Raymond James share?	Can you limit this sharing?
<b>For our everyday business purposes-</b> such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	Yes	No
<b>For our marketing purposes-</b> to offer our products and services to you	Yes	No
<b>For joint marketing with other financial companies</b>	Yes	No
<b>For our affiliates' everyday business purposes-</b> information about your transactions and experiences	Yes	No
<b>For our affiliates' everyday business purposes-</b> information about your creditworthiness	No	We don't share
<b>For our affiliates to market to you</b>	No	We don't share
<b>For non-affiliates to market to you</b>	No	We don't share

### Questions?

Call 1-800-647-7378 or go to [www.raymondjames.com](http://www.raymondjames.com)

Who we are	
Who is providing this notice?	See the Raymond James U.S. legal entities noted below.

What we do	
How does Raymond James protect my personal information?	To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings.
How does Raymond James collect my personal information?	<p>We collect your personal information, for example, when you</p> <ul style="list-style-type: none"> <li>• open an account or perform transactions</li> <li>• make a wire transfer or tell us where to send money</li> <li>• tell us about your investment or retirement portfolio</li> </ul> <p>We also collect your personal information from others such as credit bureaus, affiliates and other companies.</p>
Why can't I limit all sharing?	<p>Federal law gives you the right to limit only</p> <ul style="list-style-type: none"> <li>• sharing for affiliates' everyday business purposes-information about your creditworthiness</li> <li>• affiliates from using your information to market to you</li> <li>• sharing for non-affiliates to market to you</li> </ul> <p>State laws and individual companies may give you additional rights to limit sharing. See below for more on your rights under state law.</p>

Definitions	
<b>Affiliates</b>	<p>Companies related by common ownership or control. They can be financial and non-financial companies.</p> <ul style="list-style-type: none"> <li>• Our affiliates include companies with a Raymond James or an Eagle name.</li> </ul>
<b>Non-affiliates</b>	<p>Companies not related by common ownership or control. They can be financial and non-financial companies.</p> <ul style="list-style-type: none"> <li>• <i>Raymond James does not share with non-affiliates so they can market to you.</i></li> </ul>
<b>Joint marketing</b>	<p>A formal agreement between non-affiliated financial companies that together market financial products or services to you.</p> <ul style="list-style-type: none"> <li>• <i>Our joint marketing partners may include banks and credit unions.</i></li> </ul>

Other important information
<p>Financial advisors ("FA") may change brokerage and/or investment advisory firms and nonpublic personal information collected by your FA may be provided by your FA to the new firm so your FA can continue to service your account(s) at the new firm. If you do not want your financial advisor to use or transfer this information, please call 800-647-7378 to opt out of this sharing. Opt-in states such as California and Vermont require your affirmative consent to share your nonpublic information with the FA's new firm and in those states you must give your written consent before the FA can take your nonpublic information with him or her. You can withdraw this consent at any time by contacting 800-647-7378.</p>

Raymond James U.S. legal entities
<p>Raymond James U.S. legal entities that utilize the names: Raymond James Financial, Inc., Raymond James &amp; Associates, Inc., Raymond James Financial Services, Inc., Raymond James Financial Service Advisors, Inc., Eagle Asset Management, Inc., Eagle Fund Distributors, Inc., Eagle Family of Funds, Eagle Fund Services, Inc., Raymond James Insurance Group, Inc., and Raymond James Trust, N.A. This notice does not apply to Raymond James Bank, N.A.</p>

# Trustee Certification



New Accounts  
Service Center  
Scan or Fax 866-406-4235

01017		
Form #	Account #	
Branch #	FA #	Speed Dial #

## Trustee Certification of Investment / Banking Powers

In consideration of Raymond James opening and/or maintaining one of more accounts for the Trust named below, (the "Trust Account"), we, the undersigned Trustees, certify, represent and agree as follows:

1. The title for the Trust to which this certification applies is \_\_\_\_\_  
Trust Grantor \_\_\_\_\_

Example: Ann Smith Trust

2. The date of the Trust is \_\_\_\_\_ Amended Date (if applicable) \_\_\_\_\_

3. Can the trust be revoked or amended?  Yes  No. If yes, indicate by whom (Please attach additional sheets if necessary):  
Name (First, Middle Initial, Last) \_\_\_\_\_

4. (a) Please list all of the designated Trustees of the Trust. The Trustees certify that there are no other Trustees of the Trust other than the undersigned. A statement will be sent to all Trustees unless indicated below whereby statements will be sent to the first named Trustee only. (Please attach additional sheets if necessary)

Name _____	Name _____
Address _____	Address _____

Send statement only to first Trustee listed above.

Name _____	Name _____
Address _____	Address _____

(b) Please check one of the following:

- The Trust Agreement explicitly authorizes each Trustee listed to act individually on behalf of the Trust without the approval of the other Trustees.
- The Trust Agreement does not authorize the Trustees to act individually on behalf of the Trust.

Raymond James, in its sole discretion, may in certain instances, require the written consent of any or all of the Trustees prior to acting upon the instructions of any Trustee.

(c) Is this a Revocable Trust created and operative during the lifetime of the Grantor(s) where the Grantor(s) is/are also the only acting Trustee(s) on the Trust?

- Yes.
- No. Please provide Raymond James a copy of the Trust Instrument and all its amendments (the "Trust Agreement") or alternatively a copy of the Title page, Trustee powers, and signature sections of the Trust Agreement.

(d) The following persons have been designated *successor* Trustees for the above named Trust; leaving blank will indicate that no successors have been designated. (Please attach additional sheets if necessary)

Name _____	Name _____
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Account #

5. Subject to the limitations and restrictions set forth below in Section 6, the Trustees certify that the Trustees have the power under the Trust and applicable law to enter into the following transactions:

(a) For Trading/Investment accounts: Both purchases and sales, of any and all securities, including for example: stocks, bonds, mutual funds, but specifically excluding options, margin and short sales unless specifically designated below:

To engage in the purchase and sale of listed put and call options of the following nature:

- |   |  |
|---|--|
| <input type="radio"/> Covered Call Writing          | <input type="radio"/> Equity Put Writing |
| <input type="radio"/> Uncovered Equity Call Writing | <input type="radio"/> Spreads            |
| <input type="radio"/> Uncovered Index Writing       | <input type="radio"/> Purchases to Hedge |
| <input type="radio"/> Foreign Currency Options      |  |

- Other:  Speculative Purchases
- Borrowing Money to Purchase or Carry Securities in a Margin Account
- Short Sales of Securities Other than Options
- Engage in banking activities including Deposit Accounts and Bank Loans

(b) For Raymond James Bank Accounts: Raymond James Bank is hereby authorized to accept checks drawn on or payable to the Trust, and to take such other actions (to the full extent permitted by applicable law) relative to the Trust accounts at Raymond James Bank.

6. Please describe any limitations and restrictions in the Trustees' power, if any:

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**7. Additional Terms and Conditions**

- a. The Trustees certify that Raymond James ("Raymond James" means Raymond James and Associates, Inc., Raymond James Financial Services, Inc., and Raymond James Financial, Inc. and their affiliates) is authorized to accept orders and other instructions relative to the Trust Account from those individuals or entities listed in Section 4 above. Raymond James, in its sole discretion and for its sole protection, may require written consent of any or all of the Trustees prior to acting upon the instruction of any of the Trustees.
- b. The Trust exists and is valid under applicable state laws.
- c. Pursuant to the Trust and applicable laws, the Trustees have the full authority to enter this Trustee Certification and execute any documents on behalf of the Trust.
- d. The Trustees and/or any successor Trustees, jointly and severally, shall indemnify and defend Raymond James against any liability, loss, damages (including punitive damages), claim, settlement payment, cost and expense, interest, award judgement, diminution in value, fine, fee, and penalty, or other charge (including reasonable attorney's fees) arising out of or relating to the following: (a) the act or omission of Raymond James pursuant to the instructions provided by the Trustees and/or the authorizations in this Trust Certification; (b) when applicable, the Trustees' failure to provide a complete Trust Agreement; (c) any misrepresentation or breach of this Trustee Certification; or (d) this Trust Certification and the transactions contemplated by it. This indemnity survives the termination of this Trust Certification and the closing of the Trust Account.
- e. The Trustees certify that any and all transactions effected and instructions given on this Trust Account will be in full compliance with the Trust.
- f. The Trustees agree to inform Raymond James in writing of any amendment to the Trust, any change in the composition of the Trustees or any other event which could alter the certifications made in this Trustee Certification.

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Account #

**Additional Terms and Conditions continued**

- g. The Trustees certify to Raymond James that the Trust has not been revoked, modified, or amended in any manner that would cause the representations contained in this Trustee Certification to be incorrect.
- h. While Raymond James may review the Trust Agreement, it is not providing any legal, accounting, tax or any other advice with regard to the Trust. Knowledge of the terms of the Trust may not be inferred solely from the fact that a copy of all or part of the trust instrument is held by Raymond James pursuant to Chapter 736 of the Florida Statutes. Raymond James may require a copy of the Trust Agreement in certain instances.
- i. If any provision of this Trustee Certification is determined to be invalid, illegal or unenforceable, the remaining provisions of this Trustee Certification remain in full force.
- j. The Trustees are entering into this Trustee Certification individually, as a Trustee and on behalf of the Trust.
- k. The laws of the State of Florida (without giving effect to its conflicts of law principles) govern all matters arising out of or relating to this Trustee Certification and all the transactions it contemplates.

**Signature Instructions**

- All Trustees must sign and date. If there are more than 4 Trustees please complete an additional Trustee Certification. (Please attach additional sheets if necessary)
- Should only one person execute this agreement, it shall be a representation that the signer is the sole trustee. Where applicable, plural references in this certification shall be deemed singular and the singular includes the plural.

Trustee's Signature	Date	Trustee's Signature (if applicable)	Date
Trustee's Signature (if applicable)	Date	Trustee's Signature (if applicable)	Date

# Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding

OMB No. 1545-1621

▶ Section references are to the Internal Revenue Code. ▶ See separate instructions.  
▶ Give this form to the withholding agent or payer. Do not send to the IRS.

**Do not use this form for:**

- A U.S. citizen or other U.S. person, including a resident alien individual . . . . . W-9
- A person claiming that income is effectively connected with the conduct of a trade or business in the United States . . . . . W-8ECI
- A foreign partnership, a foreign simple trust, or a foreign grantor trust (see instructions for exceptions) . . . . . W-8ECI or W-8IMY
- A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization, foreign private foundation, or government of a U.S. possession that received effectively connected income or that is claiming the applicability of section(s) 115(2), 501(c), 892, 895, or 1443(b) (see instructions) . . . . . W-8ECI or W-8EXP

**Instead, use Form:**

**Note:** These entities should use Form W-8BEN if they are claiming treaty benefits or are providing the form only to claim they are a foreign person exempt from backup withholding.

- A person acting as an intermediary . . . . . W-8IMY

**Note:** See instructions for additional exceptions.

## Part I Identification of Beneficial Owner (See instructions.)

1 Name of individual or organization that is the beneficial owner		2 Country of incorporation or organization Australia	
3 Type of beneficial owner: <input type="checkbox"/> Individual <input type="checkbox"/> Corporation <input type="checkbox"/> Disregarded entity <input type="checkbox"/> Partnership <input checked="" type="checkbox"/> Simple trust <input type="checkbox"/> Grantor trust <input type="checkbox"/> Complex trust <input type="checkbox"/> Estate <input type="checkbox"/> Government <input type="checkbox"/> International organization <input type="checkbox"/> Central bank of issue <input type="checkbox"/> Tax-exempt organization <input type="checkbox"/> Private foundation			
4 Permanent residence address (street, apt. or suite no., or rural route). <b>Do not use a P.O. box or in-care-of address.</b>			
City or town, state or province. Include postal code where appropriate.		Country (do not abbreviate) Australia	
5 Mailing address (if different from above)			
City or town, state or province. Include postal code where appropriate.		Country (do not abbreviate) Australia	
6 U.S. taxpayer identification number, if required (see instructions) None <input type="checkbox"/> SSN or ITIN <input type="checkbox"/> EIN		7 Foreign tax identifying number, if any (optional)	
8 Reference number(s) (see instructions)			

## Part II Claim of Tax Treaty Benefits (if applicable)

9 I certify that (check all that apply):

- a  The beneficial owner is a resident of Australia within the meaning of the income tax treaty between the United States and that country.
- b  If required, the U.S. taxpayer identification number is stated on line 6 (see instructions).
- c  The beneficial owner is not an individual, derives the item (or items) of income for which the treaty benefits are claimed, and, if applicable, meets the requirements of the treaty provision dealing with limitation on benefits (see instructions).
- d  The beneficial owner is not an individual, is claiming treaty benefits for dividends received from a foreign corporation or interest from a U.S. trade or business of a foreign corporation, and meets qualified resident status (see instructions).
- e  The beneficial owner is related to the person obligated to pay the income within the meaning of section 267(b) or 707(b), and will file Form 8833 if the amount subject to withholding received during a calendar year exceeds, in the aggregate, \$500,000.

10 **Special rates and conditions** (if applicable—see instructions): The beneficial owner is claiming the provisions of Article \_\_\_\_\_ of the treaty identified on line 9a above to claim a \_\_\_\_\_ % rate of withholding on (specify type of income): \_\_\_\_\_  
Explain the reasons the beneficial owner meets the terms of the treaty article: \_\_\_\_\_

## Part III Notional Principal Contracts

11  I have provided or will provide a statement that identifies those notional principal contracts from which the income is **not** effectively connected with the conduct of a trade or business in the United States. I agree to update this statement as required.

## Part IV Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

1 I am the beneficial owner (or am authorized to sign for the beneficial owner) of all the income to which this form relates,

2 The beneficial owner is not a U.S. person,

3 The income to which this form relates is (a) not effectively connected with the conduct of a trade or business in the United States, (b) effectively connected but is not subject to tax under an income tax treaty, or (c) the partner's share of a partnership's effectively connected income, **and**

4 For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner.

### Sign Here

Signature of beneficial owner (or individual authorized to sign for beneficial owner) \_\_\_\_\_ Date (MM-DD-YYYY) \_\_\_\_\_ Capacity in which acting \_\_\_\_\_



# FORTREND SECURITIES

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## Standing Wire Instructions to Repatriate Funds

<b>Fortrend Account Name</b>	
<b>Fortrend Account Number</b>	

When delivering funds from the above account please accept the following delivery instructions.

<b>Bank Name</b>	
<b>BSB Number</b>	
<b>Bank Account Name</b>	
<b>Bank Account Number</b>	

<b>Print Name</b>	
<b>Signature</b>	

SWIFT Code (Office Use): \_\_\_\_\_

Fortrend Securities Pty Ltd  
Level 41, 55 Collins Street  
Melbourne, VIC 3000

ABN 95 055 702 693  
AFS License 247261

Telephone : 0 3 9650 8400  
Facsimile : 0 3 9650 8740  
info@fortrend.com.au  
www.fortrend.com.au

# Correspondent Option Agreement and Suitability Form

Account carried by **Raymond James & Associates, Inc.**, Member FINRA/SIPC

- New Application
- Update Account

**New Accounts  
Service Center Fax  
866-406-4235**

<b>1 1 1 2 C F</b>				
Form #	Account #			
Branch #	FA #	Speed Dial #		

**Regulations require that, in opening an account for options transactions, due care be exercised in determining my investment objective, financial situation, and approved strategies. I understand that in the event my investment objectives or financial situation should change, I am under obligation to notify your firm immediately.**

## Account Owner 1 Information

First Name, Middle Initial, Last Name <b>OR</b> Entity Name (Trust, Corporation)		Date of Birth
Marital Status: <input type="radio"/> Married <input type="radio"/> Single		Information on this form has been obtained from: <input type="radio"/> Client <input type="radio"/> Other _____
Spouse's Name <i>(if applicable)</i>		Number of Dependents
Occupation	Employer's Name <i>(if retired, last employer)</i>	Years Employed

## Account Owner 2 Information

First Name, Middle Initial, Last Name <b>OR</b> Entity Name (Trust, Corporation)		Date of Birth
Marital Status: <input type="radio"/> Married <input type="radio"/> Single		Information on this form has been obtained from: <input type="radio"/> Client <input type="radio"/> Other _____
Spouse's Name <i>(if applicable)</i>		Number of Dependents
Occupation	Employer's Name <i>(if retired, last employer)</i>	Years Employed

## Account Suitability

<u>Combined Annual Income</u> (All Sources)	<u>Combined Net Worth</u> (Assets minus Liabilities, excluding personal residence)	<u>Combined Liquid Net Worth</u> (Cash, Cash Equivalents, Marketable Securities)
<input type="radio"/> \$0-\$19,999	<input type="radio"/> \$0-\$19,999	<input type="radio"/> \$0 - \$19,999
<input type="radio"/> \$20,000-\$49,999	<input type="radio"/> \$20,000-\$29,999	<input type="radio"/> \$20,000 - \$29,999
<input type="radio"/> \$50,000-\$99,999	<input type="radio"/> \$30,000-\$49,999	<input type="radio"/> \$30,000 - \$49,999
<input type="radio"/> \$100,000-\$199,999	<input type="radio"/> \$50,000-\$99,999	<input type="radio"/> \$50,000 - \$99,999
<input type="radio"/> \$200,000-\$499,999	<input type="radio"/> \$100,000-\$249,999	<input type="radio"/> \$100,000 - \$499,999
<input type="radio"/> \$500,000-\$999,999	<input type="radio"/> \$250,000-\$499,999	<input type="radio"/> \$500,000 - \$999,999
<input type="radio"/> Over \$1,000,000 <small>(Please provide estimated amount)</small>	<input type="radio"/> \$500,000-\$999,999	<input type="radio"/> \$1,000,000 - \$2,499,999
	<input type="radio"/> \$1,000,000-\$2,499,999	<input type="radio"/> \$2,500,000 - \$4,999,999
	<input type="radio"/> \$2,500,000-\$4,999,999	<input type="radio"/> Over \$5,000,000
<input type="radio"/> \$ _____	<input type="radio"/> Over \$5,000,000	

<b>Types of Previous Option Experience</b>			<b>Investment Objective</b> (Select one Primary and one Secondary objective.)	
	<u>Equity Options</u>	<u>Index Options</u>	<u>Primary</u>	<u>Secondary</u>
None	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Covered Writing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Purchases	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Spreads	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Uncovered Writing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**Anticipated Transaction Size** (A typical option contract contains 100 shares. Index options or those effected by corporate actions may vary)

1 - 5 Contracts   
 5 - 10 Contracts   
 10 - 50 Contracts   
 50 - 100 Contracts   
 More than 100 Contracts

Investment Experience	Number of Years	Number of Trades Per Year	Size of Transactions (In Dollars)	Investment Experience (None, Limited, Moderate, Extensive)
Stocks				<input type="radio"/> N <input type="radio"/> L <input type="radio"/> M <input type="radio"/> E
Bonds				<input type="radio"/> N <input type="radio"/> L <input type="radio"/> M <input type="radio"/> E
Options				<input type="radio"/> N <input type="radio"/> L <input type="radio"/> M <input type="radio"/> E
Commodities				<input type="radio"/> N <input type="radio"/> L <input type="radio"/> M <input type="radio"/> E
Other				<input type="radio"/> N <input type="radio"/> L <input type="radio"/> M <input type="radio"/> E

## Option Strategy

Option Strategy Levels - Please have all account owners <i>Initial</i> next to each strategy you wish to employ	Home Office ROSFP Use Only <u>Approved/Denied</u>	
<b>PREMIUM INCOME FROM WRITING STOCK OPTIONS</b>		
_____ 1. <b>Covered Call Writing - Moderate Risk - Income Objective:</b> Calls fully covered by underlying stock or security immediately convertible into underlying stock. Stock may be called at any time prior to expiration, requiring owner to sell underlying stock at the strike price or convert convertible security to satisfy delivery.	<input type="radio"/>	<input type="radio"/>
_____ 2. <b>Equity Put Writing - Moderate Risk - Stock Acquisition or Speculation Objective:</b> Requires use of margin. If assigned on an equity put, the put writer must purchase the underlying stock at the strike price, which may be substantially above the current market price.	<input type="radio"/>	<input type="radio"/>
<b>PURCHASE OF STOCK OPTIONS</b>		
_____ 3. <b>Purchases to Hedge - Moderate Risk - Hedging Objective:</b> Purchasing of puts to hedge an equity portfolio or purchasing of calls to hedge a short security position.	<input type="radio"/>	<input type="radio"/>
_____ 4. <b>Speculative Purchases - Speculative Risk - Speculation Objective:</b> ( <i>additional High Risk Signature required*</i> ) - Speculative purchase of puts and/or calls. A purchaser's profit or loss is usually determined by selling (closing) the position. However, if position is not closed or exercised, it may expire worthless on expiration date.	<input type="radio"/>	<input type="radio"/>
<b>SPREADS</b>		
_____ 5. <b>Spreads - Speculative Risk - Speculation Objective:</b> ( <i>additional High Risk Signature required*</i> ) - Requires the use of margin. Involves a combination of the purchase and sale of put or call options within the same class on the same underlying security. Additionally, some index options carry the risk of early assignment without a corresponding opportunity to exercise.	<input type="radio"/>	<input type="radio"/>
<b>UNCOVERED OPTION WRITING</b>		
_____ 6. <b>Uncovered Index Call and Put Writing - High Risk - Speculation Objective:</b> ( <i>additional High Risk Signature required*</i> ) - Requires the use of margin. Involves substantial monetary risk. If assigned on an index, the writer must settle in cash the difference between the current index value and the strike price, which may be substantially different from the current index value.	<input type="radio"/>	<input type="radio"/>
_____ 7. <b>Uncovered Equity Call Writing - High Risk - Speculation Objective:</b> ( <i>additional High Risk Signature required*</i> ) - Requires the use of margin. Writing uncovered call options involves substantial monetary risk. Equity writer obligated to deliver stock at a price below the current market price.	<input type="radio"/>	<input type="radio"/>



To the extent that you purchase, sell, endorse, handle or carry for the account of the undersigned any option, the undersigned agrees to the terms and conditions as set forth below and in the Client Agreement incorporated by this reference. I/we acknowledge and agree that my/our relationship with Raymond James & Associates, Inc. is governed by the provisions of this agreement. Throughout this agreement, "I", "me", "we" and "us" refer to the undersigned and any other actual or beneficial owner of property in this account. "You" and "your" refer to Raymond James & Associates, Inc. and the introducing broker, if applicable. The terms "property" and "securities" mean securities of all kinds, monies, options and all other property dealt in by brokerage firms. The word "you" used anywhere in this agreement addressed to Raymond James & Associates, Inc. includes any entity clearing transactions through it, except where an asterisk (\*) is used after "you".

1. You are under no continuing obligation to relate or convey to me/us any information relating to any option transaction which has been entered into on my/our account or relating to the underlying securities, whether or not such information is known by you or is otherwise available.

2. It shall be my/our sole responsibility to exercise, in a proper and timely manner, any right, privilege or obligation for any option which you may purchase, sell, handle, endorse or carry for the account(s) of the undersigned.

3. Where I/we am/are long an option which is about to expire in the money, you\* are authorized, in your sole discretion and without notification to me/us, to exercise the option and liquidate the underlying stocks or instrument for my/our account, using your best efforts. This is in no way to be construed as an obligation on your part to sell or exercise such option on my/our behalf.

4. Where I/we am/are a seller of an option, you\* are authorized, in your sole discretion and without notification to me/us in the event I/we do not timely meet your margin calls, to take any and all steps necessary to protect yourself from loss or damage arising out of any option transaction made for my/our account, including buying or selling short or short exempt any part or all of the shares or instruments represented by options for my/our account, or buying for my/our account any put option, call option or other option as you\* may deem necessary to protect yourself fully from loss or damage.

5. Where I/we am/are a writer of an option on which an exercise notice has been assigned to you, I/we agree to be bound by any allocation method utilized by you\*, that is fair and equitable, as provided for in the current Option Disclosure Document. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to an automated procedure which randomly selects from among all customer short option positions, including positions established on the day of the assignment, those contracts which are subject to exercise. A more detailed description of our random allocation procedure is available upon request. Further, I/we agree that, if an exercise notice is assigned to this account, either the underlying security or instrument will be delivered to you\* or sufficient collateral to promptly margin any short position resulting from such assignment within the stated period of time in the case of a call, or cash will be deposited with you\* in the case of a put, sufficient to properly margin the security or instrument.

6. Any information, advice or notification in respect to any option or any underlying securities or instruments, related thereto which you may give me/us and which you are not required to give by the terms of this or any other agreement, express or implied, shall not be construed as creating an implied agreement or course of dealing between us and shall not impair the provisions of this or any other agreement between us.

7. The provisions of this agreement shall apply to all options, which you may have previously purchased, sold, executed, handled, endorsed or carried for my/our account and shall also apply to all options which you may hereafter purchase, sell, handle, endorse or carry for my/our account and shall inure to the benefit of your firm as now or hereafter constituted.

8. You shall not be liable for loss caused directly or indirectly by government restrictions, exchange or market rulings, war, strikes or other conditions beyond your control.

9. I/we have received and examined a current Option Disclosure Document, issued by the various option exchanges, which includes descriptive information on the nature and risks of options, prior to my/our first option transaction with you.

10. I/we agree that this agreement and all transactions, whether Raymond James & Associates, Inc. is acting as broker or principal shall be governed by the laws of the State of Florida and subject to the constitution, rules, customs, and usages of the OCC and of all Exchanges upon which options are traded for the account of the undersigned, including rules of such Exchanges and the OCC relating to position and exercise limits as described in the current Option Disclosure Document, or amendments thereto, referred to in Paragraph 9 above.

11. I/we have examined this form and confirm all the information contained thereon, especially those items concerning his or her income, net worth, and investment objectives as being true and accurate.

12. No provisions of this agreement shall in any respect be waived, altered, modified or amended unless such waiver, alteration, modification or amendment is in writing and is signed by an officer of the firm at the level of vice-president or above.

### Special Statement for Uncovered Options Writers

There are special risks associated with uncovered option writing which expose the investor to potentially significant loss. Therefore, this type of strategy may not be suitable for all clients approved for options transactions.

- 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.

- 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.

- Uncovered option writing is thus suitable only for the knowledgeable investor who understand 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 options position, the investor's broker may request significant additional margin payments. If an investor does not make such margin payments the broker may liquidate stock or options positions in the investor's account, with little or no prior notice in accordance with the investor's margin agreement.

- For combination writing, where the investor writes both a put and a call on the same underlying instrument, the potential risk is unlimited.

- 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.

- The writer of an American-style option is subject to being assigned an exercise at any time after he or she 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.

- **NOTE:** It is expected that you will read the booklet entitled **CHARACTERISTICS AND RISKS OF STANDARDIZED OPTIONS** available from your broker. In particular your attention is directed to the chapter entitled **Risks of Buying and Writing Options**. This statement is not intended to enumerate all of the risks entailed in writing uncovered options.