

# New Account Application For Entities

For Use with the Following Account  
Types:

- Corporation,
- Partnership,
- Limited Liability Company,
- Tax-Exempt Organization,
- Irrevocable Trust, or
- Other Entities

WELCOME

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# New Account Application For Entities

For Use with the Following Types of Introduced Accounts:

- Corporation,
- Partnership,
- Limited Liability Company,
- Tax-Exempt Organization,
- Irrevocable Trust, or
- Other Entities

## Contents

### *Sections to be Completed and Returned*

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- B. Principal, Authorized Person and Beneficial Owner Information (**REQUIRED**)
- C. Special Products and Services (Optional)
- D. Third Party Agent Authorization (Optional)
- E. Signature Page (**SIGNATURE REQUIRED**)
- F. Resolutions/Authorization (**if applicable, signature required**)
- G. Disbursement Authorization (**if applicable, signature required**)

Appendix A: U.S. Tax Forms

Appendix B: Notice to Introduced Customer

Hudson Securities, Inc.  
111 Town Square Place  
Jersey City, NJ 07310  
Tel: 201-216-0100

Dear New Customer:

Welcome to Hudson Securities, Inc. (“Broker”). Enclosed is our New Account Application for Entities.

Please tear out and complete the appropriate portions of **Sections A, B, C, E and G** of the **New Account Application for Entities**. If you are designating an agent to place orders on your behalf (such as an investment manager), you must complete page D-1 of the New Account Application. In addition, you should forward your agent the booklet entitled “Third Party Agent Information Form and Agreements” and a copy of the New Account Agreement booklet. Your agent will have to complete and return page A-1 of the Third Party Agent Information Form signifying acceptance of this authority. The remainder of the booklet should be retained by your agent, for his/her records. (You do not need to complete this form for any employee with trading authority over the account.)

**IMPORTANT INFORMATION ABOUT PROCEDURES FOR OPENING A NEW ACCOUNT:** In accordance with government regulations, financial institutions are required to obtain, verify, and record information that identifies each person or entity who opens an account.

**WHAT THIS MEANS FOR YOU:** When you open an account, we will ask for your name, address, identification number and other information that will allow us to identify you and your account “principals.” We may also ask to see government-issued identifying documents.

We also ask that you provide us with copies of the following documents:

- Applicable W-8 or W-9 tax form (various forms enclosed)
- A copy of your current brokerage account statement (if you are transferring your account from another brokerage firm)
- Additional documentation -- if your entity is structured so that another entity is its manager, we will need the following documentation for each entity in the chain of management:
  - **Corporation:**
    - Page F-1 of the enclosed New Account Application
    - Certificate / Articles of Incorporation, or its local equivalent if your tax domicile is outside the U.S., including any amendments thereto, or a 10-K Report for public corporations
  - **Limited Liability Company:**
    - Operating Agreement, including any amendments thereto
    - Page F-1 of the enclosed New Account Application
    - Articles of Organization / Certificate of Formation, or its local equivalent if your tax domicile is outside the U.S., including any amendments thereto
  - **Partnership:**
    - Partnership Agreement, including any amendments thereto
    - Page F-2 of the enclosed New Account Application
    - Certificate of Formation if the entity is a Limited Partnership, including any amendments thereto
  - **Trust or Pension:**
    - Trust Agreement or Pension Plan, including any amendments thereto
  - **Unregistered Pooled Investment Vehicle (e.g., hedge fund) (in addition to those documents required above based on the structure of the vehicle):**
    - Offering Memorandum/Prospectus

After making copies for your records, please return the completed sections of the New Account Application for Entities, page A-1 of the Third Party Agent Information Form (if applicable), as well as the additional documents indicated above. The remainder of the New Account Application and New Account Agreement are for your records and do not have to be returned.

We have contracted with Goldman Sachs Execution & Clearing, L.P. (our “Clearing Firm”) to handle the clearing functions for our brokerage firm. Consequently, we “introduce” your account(s) to our Clearing Firm, which will carry your account(s) in your name. Because we “introduce” your account to our Clearing Firm, the following documents refer to you from time to time as an “introduced customer” and your agreement as an Introduced Account Agreement. For a summary of the allocation of responsibilities between us and our Clearing Firm, please refer to the “Notice to Introduced Customer,” which is attached to this New Account Application as Appendix B.

Should you have any questions, please feel free to contact your account representative at our brokerage firm directly or call our office at 201-216-0100.



Sincerely,

Hudson Securities, Inc.

## A. Required Entity Information

### Name and Type of Entity Opening the Account

Name of Entity		Account Number (for internal use only)
<p>Check one of the following:</p> <p> <input type="checkbox"/> Corporation                      <input type="checkbox"/> Trust – Irrevocable                      <input type="checkbox"/> Foundation/Endowment - Trust  <input type="checkbox"/> Partnership                      <input type="checkbox"/> Government/Government Entity (including a retirement plan)                      <input type="checkbox"/> Corporate Retirement Plan e.g., pension, profit-sharing, 401(k) or other plan. <i>If other plan:</i>              • Describe type: _____              • Is plan Subject to Title I of ERISA or Section 4975 of Internal Revenue Code of 1986? <input type="checkbox"/> Yes <input type="checkbox"/> No  <input type="checkbox"/> Limited Liability Company                      <input type="checkbox"/> Foundation/Endowment - Corporate                      <input type="checkbox"/> Other entity (please specify): _____         </p>		

### Contact Information, Tax ID and Nature of Business

Nature of Business (e.g., bank, insurance co., hedge fund, etc.)		Entity is Organized under the Laws of (state/country):	
Tax Identification Number (or for any non-US entity, any government issued identification number)		Business Phone Number	Fax Number
Legal Address (used for tax reporting purposes; no P.O. Boxes, please)			
City	State/Province	Postal Code	Country

### Mailing Address (if different)

Address			
City	State/Province	Postal Code	Country

### Affiliation Information

Is the Entity a United States registered broker-dealer? (If Yes, Entity must complete PAIB Agreement and A-6 Agreement, if applicable)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Is anyone with a controlling or beneficial interest in the Entity, or an immediate family member of any such person (spouse, brother, sister, parent, child, mother-in-law, father-in-law, sister-in-law, brother-in-law, daughter-in-law, son-in-law), a senior political figure, defined as a current or former senior official in the executive, legislative, administrative, military, or judicial branches of a government (whether elected or not), a senior official of a political party, a senior executive of a government-owned commercial enterprise, corporation, business or other entity formed by or for the benefit of such individual?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Does the Entity, or any of its principals:		
• Have the ability to trade or make investment decisions for any other accounts at Broker?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
• Materially influence, directly or indirectly, the actions of any person who makes investment decisions for any other accounts at Broker?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
• Hold an ownership interest of 10% or more in another account at Broker or share in 10% or more of the profits and/or losses of another account at Broker?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
• Have common directors or management with any other account at Broker?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
If yes for any of the above, please list accounts and/or provide an explanation:		

## A. Required Entity Information

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**Financial Situation of Entity** (If Entity is transferring its account from another brokerage firm, please provide a copy of the most current account statement.)

- Annual Gross Income (from all sources) \$ \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_.
- Total Net Worth (total assets minus total liabilities) \$ \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_.
- Total Net Liquid Assets \$ \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_.

### Entity Assets

- Please indicate if any assets of the Entity constitute "plan assets" subject to Title I of ERISA or Section 4975 of the Internal Revenue Code of 1986.  Yes  No

### Investment Objective- (ONLY IF ENTITY DESIRES APPROVAL TO TRADE OPTIONS OR SECURITY FUTURES CONTRACTS)

If Entity desires approval to trade options or security futures contracts, please indicate its choice of investment objective based on the definitions of Capital Appreciation, Balanced and Conservative as defined below. **PLEASE NOTE, THE ENTITY MUST CHOOSE ONE, AND ONLY ONE, OF THESE THREE INVESTMENT OBJECTIVES.** Broker cannot guarantee that any particular investment or investments generally will achieve the investment objective indicated below.

- 1. Capital Appreciation** — Account primarily seeks long-term capital appreciation. Account may also include some short term trading and margin (leverage). Entity is willing to assume a higher risk commensurate with its expected returns and understands that there is no guarantee that the investments, either individually or in the Account as a whole, will attain such returns.

**Speculative Investments** — Please check this box if in seeking Capital Appreciation Entity wishes to make speculative investments, engage in opportunistic trades, including but not limited to uncovered option trading (both listed and over-the-counter), day trading and other short term trading, and purchase foreign exchange, commodities, futures and non-principal protected instruments. Entity understands and acknowledges that the foregoing investments involve a high degree of risk and is willing and able to bear the full risk of loss of principal invested in such investments. **If Entity checks Speculative Investments it must also check Capital Appreciation as its investment objective.**

**2. Balanced** — Account primarily seeks long-term capital appreciation and current income. Account may also include a limited amount of short-term trading and margin (leverage). Entity is willing to assume moderate to high risk commensurate with its expected returns and understands that there is no guarantee that the investments, either individually or in the Account as a whole, will attain such returns.

**3. Conservative** — Account primarily seeks current income and, secondarily, moderate capital appreciation. Entity is willing to assume low to moderate risk commensurate with its expected returns and understands that there is no guarantee that the investments, either individually or in the Account as a whole, will attain such returns.

### Payment and Delivery Instructions

If Clearing Firm will act as custodian for the Entity's account, the Entity must provide payment instructions to withdraw assets from the account.

## B. Entity Type, Principal, Authorized Person and Beneficial Owner Information

To comply with the USA PATRIOT ACT and securities regulations, please complete this page on behalf of each principal/authorized person/beneficial owner set forth below. In addition, please complete this page on behalf of each person named in an authorized signatory list, if one is provided to us. GSEC may, from time to time, ask for additional information or for information about additional Account Principals, Authorized Persons and Beneficial Owners of the Entity. If your Account is managed by an intermediary (e.g., an adviser), we may require information on the intermediary.

(Please check the box next to the relevant Entity Type and complete the applicable sections on the next page.)

√	Entity Type	Principals/ Beneficial Owner(s)	Sections to be Completed
<input type="checkbox"/>	Bank (other than Central Banks)**	Senior officers and owners of 5% or more of entity, as applicable	I and II
<input type="checkbox"/>	Bank (Central or Monetary Authority)*	Head of Central Bank/Monetary Authority	I
<input type="checkbox"/>	<b>Broker/Dealers, Futures Commission Merchants, Investment Advisors*</b>	<b>Senior officers, general partners, and owners of 5% or more of entity, as applicable</b>	<b>I and II</b>
<input type="checkbox"/>	Charitable, Religious or Non-Profit Organization (regardless of legal structure)	Chairman of the board, senior officers, and owners of 5% or more of entity, as applicable	I
<input type="checkbox"/>	Foundation, Endowment (regardless of legal structure)	Senior officers, trustees, and grantor	I
<input type="checkbox"/>	Government Agency, Sovereign Agency, Municipality, Public Authority*	Head of agency	I
<input checked="" type="checkbox"/>	<b>Hedge Funds (regardless of legal structure)</b>	<b>Hedge fund manager, officers/directors and/or general partner/managing member, as applicable</b>	<b>I</b>
<input checked="" type="checkbox"/>	<b>Limited Liability Company</b>	<b>Manager and managing members</b>	<b>I</b>
<input type="checkbox"/>	Mutual Fund*	Officers and trading advisor	I
<input checked="" type="checkbox"/>	<b>Partnership</b>	<b>General partner and managing general partner</b>	<b>I</b>
<input type="checkbox"/>	Pension Plan (ERISA)*		N/A
<input type="checkbox"/>	Pension Plan (non-ERISA)*	Trustee and persons authorized to act in a fiduciary capacity	I
<input checked="" type="checkbox"/>	<b>Private Corporation (other than private investment vehicle/personal holding company)</b>	<b>Chairman of the board, senior officers, and owners of 5% or more of entity, as applicable</b>	<b>I and II</b>
<input type="checkbox"/>	Private Investment Vehicles/Personal Holding Companies (regardless of legal structure)	All beneficial owners	II
<input type="checkbox"/>	Public Corporation*: <b>Ticker Symbol:</b> _____	Chairman of the board and senior officers	I
<input type="checkbox"/>	Trust- with an Individual as a Trustee	Grantor/settlor, the trustees and beneficial owners of the trust assets	I and II
<input type="checkbox"/>	Trust- with a Corporate Trustee	Grantor/settler, the trustees and beneficial owners of the trust assets ( <b>OR</b> , if the Trustee is a recognized financial institution located in the US and regulated in the US, an AML certification from the corporate trustee)	I and II
<input type="checkbox"/>	University, Hospital, HMOs (regardless of legal structure)*	Chairman of the board, senior officers, and owners of 5% of more of entity, as applicable	I and II

\*Principal information is **not required** if the participant is domiciled in a FATF-member country (<http://www.fatf-gafi.org>); **however, we may ask for additional information/documentation on a case by case basis.**

\*\*Non-U.S. banks must complete a "foreign bank certification"; if applicable, please contact your GSEC Representative.

## B. Required Principal, Authorized Person and Beneficial Owner Information

### Section I: Principals

1.	_____ <i>Last Name</i>	_____ <i>First Name</i>	_____ <i>Middle Initial</i>
	_____ <i>Country of Domicile</i>	_____ <i>Job Title</i>	
2.	_____ <i>Last Name</i>	_____ <i>First Name</i>	_____ <i>Middle Initial</i>
	_____ <i>Country of Domicile</i>	_____ <i>Job Title</i>	
3.	_____ <i>Last Name</i>	_____ <i>First Name</i>	_____ <i>Middle Initial</i>
	_____ <i>Country of Domicile</i>	_____ <i>Job Title</i>	

### Section II: Beneficial Owners

_____ <i>Last Name</i>	_____ <i>First Name</i>	_____ <i>Middle Initial</i>
_____ <i>Tax ID No. and Type</i>	_____ <i>Passport No./Driver's License No. and Country/State of Issuance</i>	_____ <i>Date of Birth</i>
_____ <i>Home Address: Street</i>	_____ <i>Home Address: City</i>	_____ <i>Home Address: State/Province</i>
_____ <i>Home Address: Country</i>	_____ <i>Home Address: Postal Code</i>	_____ <i>Telephone Number</i>
_____ <i>Source of Funds</i>	_____ <i>Line of Business</i>	
_____ <i>Source of Wealth (for personal investment vehicles and Trusts only)</i>		
_____ <i>Last Name</i>	_____ <i>First Name</i>	_____ <i>Middle Initial</i>
_____ <i>Tax ID No. and Type</i>	_____ <i>Passport No. /Driver's License No. and Country/State of Issuance</i>	_____ <i>Date of Birth</i>
_____ <i>Home Address: Street</i>	_____ <i>Home Address: City</i>	_____ <i>Home Address: State/Province</i>
_____ <i>Home Address: Country</i>	_____ <i>Home Address: Postal Code</i>	_____ <i>Telephone Number</i>
_____ <i>Source of Funds</i>	_____ <i>Line of Business</i>	
_____ <i>Source of Wealth (for personal investment vehicles and Trusts only)</i>		
_____ <i>Last Name</i>	_____ <i>First Name</i>	_____ <i>Middle Initial</i>
_____ <i>Tax ID No. and Type</i>	_____ <i>Passport No. /Driver's License No. and Country/State of Issuance</i>	_____ <i>Date of Birth</i>
_____ <i>Home Address: Street</i>	_____ <i>Home Address: City</i>	_____ <i>Home Address: State/Province</i>
_____ <i>Home Address: Country</i>	_____ <i>Home Address: Postal Code</i>	_____ <i>Telephone Number</i>
_____ <i>Source of Funds</i>	_____ <i>Line of Business</i>	
_____ <i>Source of Wealth (for personal investment vehicles and Trusts only)</i>		

(If necessary, make additional copies of this page)

**1. Margin Account**

**The Entity wants to be able to borrow, from Clearing Firm, for investments or other purposes in connection with its account and hereby applies for a Margin Account.** In addition to other applicable agreements and supplements set forth herein, the Entity agrees to abide by the Margin Supplement. By checking this box, the Entity represents that it has received and read and understands the Margin Risk Disclosure Statement and Interest Charges Disclosure Statement in the Account Agreement, and acknowledges that Clearing Firm may use, rehypothecate or transfer securities and other property held in the Entity's Margin Account in accordance with the attached Account Agreement. The Entity acknowledges and agrees neither Broker, Clearing Firm nor their respective affiliates have provided advice relating to the tax consequences of the Margin Account. By transacting in the Margin Account, the Entity and any fiduciary acting on its behalf, agree that there is no applicable law, rule or regulation that would limit Clearing Firm's or Broker's ability to exercise their rights in connection with the Margin Account.

**2. Option Transactions**

**The Entity wants to be able to engage in option transactions in connection with its account and hereby applies for an option account.** In addition to other applicable agreements and supplements set forth herein, the Entity agrees to abide by the Option Supplement. By checking this box, the Entity represents that it has received, read and understood the Uncovered Option Disclosure Statement in the Account Agreement and the current OCC options disclosure documents, including the material on the risks of buying and selling listed options and the exercise and settlement of listed options. If the Entity wants to engage in uncovered option transactions, it represents that it has an annual income of over \$100,000 and a net worth of over \$250,000 or such other minimum amounts as may be required by Broker or Clearing Firm.

Entity plans to use the following options strategies:

<input type="checkbox"/> Covered Call Writing	<input type="checkbox"/> Spreading Calls and Puts
<input type="checkbox"/> Purchasing Calls and Puts	<input type="checkbox"/> Uncovered Call and Put Writing (if this box is checked, Entity must also check Speculative Investments under the Investment Objective section on page A-2)

Entity plans to trade the following option products:

<input type="checkbox"/> Equity	<input type="checkbox"/> Index
<input type="checkbox"/> Other: _____	

**3. Security Futures Contracts**

The Entity hereby applies for approval to trade security futures contracts. In addition to other applicable agreements and supplements set forth herein, the Entity agrees to abide by the Security Futures Supplement. By checking this box, the Entity represents that it has received, read and understood the current NASD/NFA Risk Disclosure Statement for Securities Futures Contracts. If the Entity wants to engage in security futures transactions, it represents that it has an annual income of over \$100,000 and a net worth of over \$250,000 or such other minimum amounts as may be required by Broker or Clearing Firm.

Please check one of the following:

<input type="checkbox"/> A copy of the Entity's commodity pool operator/commodity trading advisor registration is included.	<input type="checkbox"/> A copy of the Entity's Claim of No-Action Relief pursuant to Commodity Exchange Act Regulation 4.13 is included.	<input type="checkbox"/> A copy of a legal opinion from Entity's counsel is attached indicating that Entity is not a commodity pool.
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Please list all persons or entities not identified as the account holder or listed in Section B that have a 10% or more financial interest in this account, including limited partners, indicating with an asterisk those having discretionary trading authority with respect to this account. If none, write "none." Use a continuation sheet if necessary.

Name: \_\_\_\_\_

Location: \_\_\_\_\_

Please list all persons who control the trading of this Account other than those listed immediately above or granted Authorization in Section D. If there are more than five such persons, please indicate "multiple controllers" in the space below.

Name: \_\_\_\_\_

Location: \_\_\_\_\_

**4. Prime Broker**

The Entity hereby applies for a prime brokerage account to be introduced to and carried by Clearing Firm. In addition to other applicable agreements and supplements set forth herein, the Entity agrees to abide by the Prime Brokerage Supplement, which is deemed to be a contract between me/us and Clearing Firm within the meaning of the Securities and Exchange Commission No-Action Letter on prime brokerage dated January 25, 1994. The executing brokers listed below (or on an attached sheet) shall constitute the Entity's schedule of authorized executing brokers where the Entity maintains accounts. Upon establishing an account with another executing broker, the Entity agrees to immediately notify Clearing Firm and provide Clearing Firm with written updates of this list. If the Entity wants to use Clearing Firm as its prime broker, it agrees to maintain a minimum net liquidating account balance of at least \$1,500,000 or such other minimum amount as may be required by Clearing Firm or any law, rule or regulation.

Name of Executing Broker: _____	Name of Executing Broker: _____
Address: _____	Address: _____
Operational Contact at Executing Broker: _____	Operational Contact at Executing Broker: _____
Account Name/Number: _____	Account Name/Number: _____
Executing Broker's Clearing Firm: _____	Executing Broker's Clearing Firm: _____

**5. Website Access and Consent to Electronic Delivery of Statements (check all that apply)**

The Entity hereby requests access to Broker's or Clearing Firm's website so that its employees and agents may view its account information and download it to the extent such access is available. In addition to other applicable agreements and supplements set forth herein, Entity acknowledges that it has read and agrees to abide by the Electronic Services Supplement, which has important information regarding online viewing of account information. Entity understands that any restrictions it places on any of its employees and agents, now or anytime hereafter, to view less than all present and future accounts shall have no limitation on the employee's or agent's actual or apparent authority.

Name: _____	Name: _____	Name: _____
Address: _____	Address: _____	Address: _____
Phone: _____	Phone: _____	Phone: _____
E-mail: _____	E-mail: _____	E-mail: _____
<input type="checkbox"/> View all Accounts	<input type="checkbox"/> View all Accounts	<input type="checkbox"/> View all Accounts
<input type="checkbox"/> View the following account numbers: _____	<input type="checkbox"/> View the following account numbers: _____	<input type="checkbox"/> View the following account numbers: _____

The Entity hereby consents to electronic delivery by Clearing Firm or Broker of prospectuses, disclosure documents, account statements, confirmations, notices, communications, and other information from Clearing Firm electronically when electronic delivery is available. Entity agrees that it has read and agrees to the Electronic Services Supplement, which has important information regarding electronic delivery of information. Electronic delivery of information may be accomplished by various methods, including, but not limited to, by posting such information on Broker's or Clearing Firm's website where it can be viewed and printed, by sending such information to the e-mail address, IP address, facsimile number or other electronic address specified below, or otherwise as specified in the Electronic Services Supplement. Entity agrees to notify Broker and Clearing Firm promptly in writing of any change in its e-mail address, IP address, facsimile number or other electronic address and understands that it may revoke this consent to electronic delivery at any time by notifying Broker and Clearing Firm in accordance with the Electronic Services Supplement.

**Current e-mail/IP address(es):** \_\_\_\_\_

**6. Disclosures to Issuers and non-U.S. tax authorities**

Please check one or both boxes below if you do NOT consent to the stated disclosure.

**Disclosure to Issuers.** In certain circumstances, Clearing Firm is required to disclose to an issuer the name, address, and position of its customers who are beneficial owners of that issuer's securities unless the customer objects. If the Entity objects to such disclosure, please check the box below:

The Entity **OBJECTS** to disclosure to issuers.

**Disclosure to Non-U.S. Taxation Authorities.** Unless the Entity objects, Clearing Firm may disclose certain information about the Entity to non-U.S. taxation authorities from time to time in an effort to reduce the Entity's withholding tax liability on certain non-U.S. source income payments. The information disclosed may consist of, among other things, the Entity's name, address, tax identification number, tax domicile and the quantity of the subject foreign security(ies) the Entity may hold. Additionally, unless the Entity objects, the Entity agrees to cooperate with any request for additional information or documentation about the Entity by a Non-U.S. Taxation Authority seeking to verify the eligibility for the reduced withholding rate. If the Entity objects, please check the box below:

The Entity **OBJECTS** to disclosure to non-U.S. taxation authorities. The Entity acknowledges that by objecting it may subject itself to higher withholding tax liability on certain non-U.S. source income payments.

*Please contact your Broker representative for additional documentation if the Entity desires to engage in the trading of other products not listed above.*

**ORDERS PLACED BY OTHERS**

If Entity is authorizing a third party to place orders on its behalf in connection with its account, please complete the following information and sign. The agent must also complete a separate package entitled **Third Party Agent Information Form and Agreements** accepting this authorization. **This should not be completed for employees of Entity.**

The Entity hereby appoints and authorizes the third party (such as the investment manager of a hedge fund) listed below as its agent with respect to its account to take such actions described in the Third Party Agent Supplement and Authorization, including to purchase, invest in, or otherwise acquire, exchange, transfer, borrow, lend, sell or otherwise dispose of and generally deal in and with, any and all forms of securities, security futures, swap agreements and/or security-based swap agreements, foreign currency, and all other products or transactions described in the Third Party Agent Supplement and Authorization. In addition to other applicable agreements and supplements set forth herein, the Entity agrees to abide by the Third Party Agent Supplement and Authorization. (If the third party agent is an entity, the Entity may not limit its authorization for trading to specific individuals who act on behalf of the third party agent, but must instead authorize the entity itself for trading.)

Name of Agent:

**Please note that the AGENT MUST SIGN A SEPARATE PACKAGE ENTITLED THIRD PARTY AGENT INFORMATION FORM AND AGREEMENTS ACCEPTING THIS AUTHORIZATION.**

**Signature of Entity**

Print Name of Entity			
Signature of Authorized Signatory <b>X</b>	Date	Signature of <i>Additional</i> Authorized Signatory <b>X</b>	Date
Print Name of Authorized Signatory		Print Name of <i>Additional</i> Authorized Signatory	
Print Title of Authorized Signatory		Print Title of <i>Additional</i> Authorized Signatory	

Signature of <i>Additional</i> Authorized Signatory <b>X</b>	Date	Signature of <i>Additional</i> Authorized Signatory <b>X</b>	Date
Print Name of <i>Additional</i> Authorized Signatory		Print Name of <i>Additional</i> Authorized Signatory	
Print Title of <i>Additional</i> Authorized Signatory		Print Title of <i>Additional</i> Authorized Signatory	

## E. Signature Page (Signature Required)

### Terms and Conditions

By signing below, the Entity agrees to be bound by the enclosed Introduced Account Agreement and all applicable Supplements (which it hereby acknowledges receiving), which are incorporated by reference herein, and represents to Broker, which representations shall be deemed to be repeated daily, that all information provided in this New Account Application package is accurate and complete and the Entity agrees to notify Broker immediately of any changes or amendments to this information or any documentation provided to Broker, including but not limited to Entity's Partnership Agreement, Operating Agreement, Trust Agreement or other organizational documents.

By signing below, the Entity acknowledges receiving and reviewing the "Notice to Introduced Customer" attached to this New Account Application as Appendix B.

**A predispute arbitration clause is contained on page A-8 in Section 30 of the Introduced Account Agreement and Entity hereby acknowledges receipt thereof.**

### Signature of Entity

Print Name of Entity			
Signature of Authorized Signatory <b>X</b>	Date	Signature of <i>Additional</i> Authorized Signatory <b>X</b>	Date
Print Name of Authorized Signatory		Print Name of <i>Additional</i> Authorized Signatory	
Print Title of Authorized Signatory		Print Title of <i>Additional</i> Authorized Signatory	
Signature of <i>Additional</i> Authorized Signatory <b>X</b>	Date	Signature of <i>Additional</i> Authorized Signatory <b>X</b>	Date
Print Name of <i>Additional</i> Authorized Signatory		Print Name of <i>Additional</i> Authorized Signatory	
Print Title of <i>Additional</i> Authorized Signatory		Print Title of <i>Additional</i> Authorized Signatory	

*For internal use only*

Broker Rep Receiving Account: \_\_\_\_\_  
Date: \_\_\_\_\_

Approved by: \_\_\_\_\_  
Date: \_\_\_\_\_

### Client is approved for the following types of option transactions:

Option Strategies:	Covered Writing	Purchase Only	Spreads	Uncovered Writing
Equity (Stock):	_____	_____	_____	_____
Index:	_____	_____	_____	_____
Other _____:	_____	_____	_____	_____

Date OCC Disclosure Documents provided to client: \_\_\_\_\_

ROP/CROP Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Notes: \_\_\_\_\_

## F. Corporate and Limited Liability Company Resolutions

**Instructions:** The people authorized to act on behalf of the Entity (including the person that signs the Account Agreement) should have their names listed in the section entitled "First" under the **Resolved** portion of the Resolution. The end of the Resolution should be completed and signed by a person who is not listed in the first **Resolved** section below to verify that those listed in the first **Resolved** section below have proper authority to act on behalf of the Entity.

I, the person identified at the end of these resolutions\* and having the title specified next to my name, do hereby certify that the resolutions set forth below were duly adopted by the lawfully empowered governing body of the Entity, on the date specified below, and that these resolutions have not been rescinded or modified and are now in full force and effect.

### Resolved

**First:** That all officers, directors, employees and agents of the Entity having actual or apparent authority to act, including without limitation, the following named persons and their successors in office:

Print Name
Print Title
Print Name
Print Title
Print Name
Print Title
Print Name
Print Title

and each of them, are hereby authorized and empowered for and on behalf of the Entity to establish and maintain one or more accounts ("**Accounts**") with Hudson Securities, Inc. ("**Broker**"), such Accounts to be introduced by Broker to Goldman Sachs Execution & Clearing, L.P. as Broker's clearing firm ("**Clearing Firm**") for the purpose of purchasing, investing in, or otherwise acquiring, exchanging, transferring, borrowing, lending, selling or otherwise disposing of and generally dealing in and with, any and all forms of securities, swap agreements and/or security-based swap agreements and foreign currency, including, but not limited to, shares, stocks, listed or over-the-counter options and/or futures or options on futures, security futures contracts or options on security futures contracts, forwards, swaps, contracts for differences and any other listed or over-the-counter derivative contract, bonds, debentures, notes, commodities, scrip, evidences of indebtedness, participation certificates, mortgages, mortgage-backed and asset-backed securities, contracts, certificates of deposit, commercial paper, "when-issued" securities, subscription rights, warrants, other derivative transactions and securities, and certificates of interest of any and every kind and nature whatsoever as well as any other instrument or interest generally regarded as an investment, secured or unsecured, whether represented by certificate or otherwise and, entering into repurchase and reverse repurchase agreements and security lending transactions, and secured loans (including entering into margin transactions and short sales, if a margin account for the Entity has been applied for and approved by Broker and Clearing Firm).

**Second:** Each of these persons is hereby granted the fullest authority to act in the name and on behalf of the Entity with respect to each of these Accounts, including authority (without limiting the generality of the foregoing):

- (1) To give instructions (whether in oral, written, electronic or other form) to Broker or Clearing Firm with respect to the matters referred to above;
- (2) To bind the Entity to any contract, arrangement or transaction entered into with or through Broker;
- (3) To pay to Broker and Clearing Firm such sums as may be necessary in connection with each Account;
- (4) To deposit securities, funds and other property of the Entity with Clearing Firm and to grant securities interests therein;
- (5) To order the transfer or delivery of any security, funds or other property of the Entity to any

person (including any of the above persons) and to order the transfer or record ownership of any securities or other property to any person (including any of the above persons) and in any name whatsoever;

- (6) To endorse any securities, stock powers or other instruments in order to pass title to securities or other property and to direct the sale, transfer, exchange or exercise of any rights with respect to any such securities or other property of the Entity;
- (7) To agree to any terms or conditions regarding each Account, to execute on behalf of the Entity (whether in paper, electronic or other form) any agreement, release, power of attorney, assignment or other document in connection with such Account and the property therein;
- (8) To direct Broker or Clearing Firm to surrender securities to any party for the purpose of effecting any exchange or conversion or for any other purpose;
- (9) To withdraw and accept delivery of securities, funds and other property of the Entity;
- (10) To receive (whether in oral, written, electronic or other form) confirmations, statements of account, notices, demands and other documents relating to each Account on behalf of the Entity;
- (11) To appoint any other person to do any and all things which any of the above persons is hereby empowered to do; and
- (12) Generally to do and take all action in connection with each Account which is deemed necessary or desirable by any of the above persons with respect thereto and Broker or Clearing Firm may deal with each of the above persons as though they were dealing with the Entity directly.

**Third:** That the authority of each of these persons, their delegates, and their successors in office shall continue until a managing director of Broker and of Clearing Firm shall receive from the Entity, and have a reasonable time to act on, a written notice of the revocation thereof.

**Fourth:** That the proper person\* of the Entity is hereby authorized and directed to certify to Broker (in writing or otherwise):

- (1) A true copy of these resolutions;
- (2) Specimen signatures of the persons specifically listed above;
- (3) A certificate that the Entity is duly organized and existing, that these resolutions are in conformity with the provisions of the charter and bylaws or, if applicable, the memoranda and articles of association or other constituent documents of the Entity and within its lawful powers and that no limitation has been imposed on such powers by the constituent documents of the Entity, by applicable law or otherwise; and
- (4) Any changes in the office or powers or persons hereby empowered, which notification, when received with reasonable time to act on it, shall be adequate both to terminate the powers of the persons theretofore authorized, and to empower the persons thereby substituted.

**Strike out the entire next paragraph if all Accounts are to be cash accounts only, with no margin transactions permitted.**

**Fifth:** That in addition to the foregoing powers, each of said persons is hereby granted the fullest authority to establish and maintain margin accounts to be carried by Clearing Firm; to sell (including short), loan, pledge, or grant a security interest in any and all forms of securities and other property on behalf of the Entity; to borrow money, securities and other property from or through Clearing Firm or others and to secure repayment thereof with the property of the Entity; and, to agree to any terms or conditions regarding the foregoing and to execute on behalf of the Entity any agreement, release, power of attorney, assignment or other document relating thereto.

**Affix seal here or check the box below if no seal is available.**

No seal is available

**I Hereby Certify as Set Forth Above:**

Print Name of Entity	
Date Resolution Adopted by Entity	
Signature of Authorized Signatory Certifying the Resolutions <b>X</b>	Date
Print Name and Title of Authorized Signatory Certifying the Resolutions*	

\* The above certification should be signed by an authorized person (for example, a corporate secretary) who is not the person executing the Account Agreement.

## F. Partnership Authorization

**Instructions:** The people authorized to act on behalf of the Entity (including the person that signs the Introduced Account Agreement) should have their names listed in the section entitled "First" below. The end of the Authorization should be completed and signed by all the general partners of the Entity.

I/We, the General Partner(s) of the Entity identified at the end of this Authorization, do hereby represent as follows:

**First:** That all general partners, officers, if any, employees and agents of the Entity having actual or apparent authority to act, including without limitation, the following named persons and their successors in office:

Print Name
Print Title

Print Name
Print Title

Print Name
Print Title

Print Name
Print Title

and each of them, are hereby authorized and empowered for and on behalf of the Entity to establish and maintain one or more accounts ("Accounts") with Hudson Securities, Inc. ("Broker"), such Accounts to be introduced by Broker to Goldman Sachs Execution & Clearing, L.P., as Broker's clearing firm (the "Clearing Firm"), for the purpose of purchasing, investing in, or otherwise acquiring, exchanging, transferring, borrowing, lending, selling or otherwise disposing of and generally dealing in and with, any and all forms of securities, swap agreements and/or security-based swap agreements and foreign currency, including, but not limited to, shares, stocks, listed or over-the-counter options and/or futures or options on futures, security futures contracts or options on security futures contracts, forwards, swaps, contracts for differences and any other listed or over-the-counter derivative contract, bonds, debentures, notes, commodities, scrip, evidences of indebtedness, participation certificates, mortgages, mortgage-backed and asset-backed securities, contracts, certificates of deposit, commercial paper, "when-issued" securities, subscription rights, warrants, other derivative transactions and securities, and certificates of interest of any and every kind and nature whatsoever as well as any other instrument or interest generally regarded as an investment, secured or unsecured, whether represented by certificate or otherwise and, entering into repurchase and reverse repurchase agreements and security lending transactions, and secured loans (including entering into margin transactions and short sales, if a margin account for the Entity has been applied for and approved by Broker and Clearing Firm).

**Second:** Each of these persons is hereby granted the fullest authority to act in the name and on behalf of the Entity with respect to each of these Accounts, including authority (without limiting the generality of the foregoing):

- (1) To give instructions (whether in oral, written, electronic or other form) to Broker or Clearing Firm with respect to the matters referred to above;
- (2) To bind the Entity to any contract, arrangement or transaction entered into with or through Broker;
- (3) To pay to Broker and Clearing Firm such sums as may be necessary in connection with each Account;
- (4) To deposit securities, funds and other property of the Entity with Clearing Firm and to grant securities interests therein;
- (5) To order the transfer or delivery of any security, funds or other property of the Entity to any person (including any of the above persons) and to order the transfer or record ownership of any securities or other property to any person (including any of the above persons) and in any name whatsoever;
- (6) To endorse any securities, stock powers or other instruments in order to pass title to securities or other property and

to direct the sale, transfer, exchange or exercise of any rights with respect to any such securities or other property of the Entity; (7) To agree to any terms or conditions regarding each Account, to execute on behalf of the Entity (whether in paper, electronic or other form) any agreement, release, power of attorney, assignment or other document in connection with such Account and the property therein; (8) To direct Broker or Clearing Firm to surrender securities to any party for the purpose of effecting any exchange or conversion or for any other purpose; (9) To withdraw and accept delivery of securities, funds and other property of the Entity; (10) To receive (whether in oral, written, electronic or other form) confirmations, statements of account, notices, demands and other documents relating to each Account on behalf of the Entity; (11) To appoint any other person to do any and all things which any of the above persons is hereby empowered to do; and (12) Generally to do and take all action in connection with each Account which is deemed necessary or desirable by any of the above persons with respect thereto and Broker or Clearing Firm may deal with each of the above persons as though they were dealing with the Entity directly.

**Third:** That the authority of each of these persons, their delegates, and their successors in office shall continue until a managing director of Broker and of Clearing Firm shall receive from the Entity, and have a reasonable time to act on, a written notice of the revocation thereof.

**Fourth:** That this Authorization is in conformity with the provisions of partnership agreement or other constituent documents of the Entity and within its lawful powers and that no limitation has been imposed on such powers by the constituent documents of the Entity, by applicable law or otherwise; and that any changes in the office or powers or persons hereby empowered, which notification, when received with reasonable time to act on it, shall be adequate both to terminate the powers of the persons theretofore authorized, and to empower the persons thereby substituted.

**Strike out the entire next paragraph if all Accounts are to be cash accounts only, with no margin transactions permitted.**

**Fifth:** That in addition to the foregoing powers, each of said persons is hereby granted the fullest authority to establish and maintain margin accounts to be carried by Clearing Firm; to sell (including short), loan, pledge, or grant a security interest in any and all forms of securities and other property on behalf of the Entity; to borrow money, securities and other property from or through Clearing Firm and to secure repayment thereof with the property of the Entity; and, to agree to any terms or conditions regarding the foregoing and to execute on behalf of the Entity any agreement, release, power of attorney, assignment or other document relating thereto.

**I/We Hereby Certify as Set Forth Above (all General Partners must sign):**

Print Name of Entity	
Signature of General Partner #1 <b>X</b>	Date
Print Name and Title of General Partner #1	
Signature of General Partner #2 <b>X</b>	Date
Print Name and Title of General Partner #2	
Signature of General Partner #3 <b>X</b>	Date
Print Name and Title of General Partner #3	

Date: \_\_\_\_\_

Hudson Securities, Inc.  
111 Town Square Place  
Jersey City, NJ 07310

**RE: Disbursement Authorization**

Dear Sirs:

I am the \_\_\_\_\_ of \_\_\_\_\_ ("Client"),  
(insert title of person executing this form) (insert Client name)

and hereby give authorization, on behalf of Client, to each of the persons set forth below, to direct Hudson Securities, Inc. and any of its affiliates ("you" or "Broker") to authorize Goldman Sachs Execution & Clearing, L.P. ("Clearing Firm") to disburse assets, including cash, securities or other property ("Assets"), on Client's behalf to any party, including the person submitting the disbursement request. Client understands that requests to disburse Assets may be subject to legal and/or regulatory requirements as well as your or Clearing Firm's internal policies. Client acknowledges your or Clearing Firm's right to comply with any communication, instruction, notice or order, whether oral or written (including e-mail), received from any individual authorized to act on behalf of Client. Client further understands that all requests to disburse Assets to a third party must be submitted to you and Clearing Firm in writing and signed by an authorized agent of the Client for transmission to and action by Clearing Firm.

This authorization, which is governed by the Introduced Account Agreement executed by Client, supercedes any previous instructions given to you in any Wire Authorization or in any other document. You or Clearing Firm may continue to rely on this authorization, unless and until you and Clearing Firm receive written notice to the contrary from the undersigned or his or her successor in office.

Name	Title	Signature
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

Very truly yours,

By: \_\_\_\_\_

Print Name: \_\_\_\_\_

Title: \_\_\_\_\_

This Appendix lists certain U.S. tax forms that Clearing Firm is required to collect from you by federal law **if Clearing Firm will act as a custodian of your Account with Broker.**

The descriptions of these forms below are of a general nature only and are not legal or tax advice. Entity should consult with its own tax advisor to determine which of the following forms must be completed and for assistance with completing the appropriate form(s).

**For U.S. Persons:**

- Form W-9** U.S. Persons must provide Form W-9.

**For non-U.S. Persons:**

- Form W-8BEN** A non-U.S. Person (individual or entity) that is the beneficial owner of the income from the account must provide Form W-8BEN.
- Form W-8IMY** Certain non-U.S. Persons that act as intermediaries with respect to income from the account must provide Form W-8IMY (as well as certain documentation relating to the beneficial owner(s) of the income). Persons required to provide Form W-8IMY may include flow-through entities such as foreign partnerships and foreign trusts, U.S. branches of certain foreign banks or insurance companies, qualified intermediaries that are not acting for their own accounts, or nonqualified intermediaries that are not acting for their own accounts.
- Form W-8EXP** Foreign governments, international organizations, foreign central banks, foreign tax-exempt organizations, and foreign private foundations who wish to claim a reduced rate of U.S. withholding based on their special status must provide Form W-8EXP.
- Form W-8ECI** A non-U.S. Person may claim exemption from withholding on income that is effectively connected with a trade or business in the United States on Form W-8ECI (provided that the effectively connected income will be reported on the non-U.S. person's U.S. federal income tax return). Certain clients may receive such income as a result of their independent business activities.

Copies of these tax forms are available from a Broker Representative or from the IRS Web site [http://www.irs.ustreas.gov/prod/forms\\_pubs/index.html](http://www.irs.ustreas.gov/prod/forms_pubs/index.html). Please fill out and return the applicable form(s) with this New Account Application. **Do not send these forms to the IRS.**

## Appendix B: Notice to Introduced Customers

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This is to inform you that Hudson Securities, Inc. has entered into an agreement with Goldman Sachs Execution & Clearing, L.P. ("**Clearing Firm**") for certain transaction processing, clearing, custodial and financing functions with respect to your securities account. This agreement allocates certain responsibilities and the performance of various functions with respect to your account between Broker and our Clearing Firm. In general, all activities related to the recommendation of securities transactions, the entering of orders, and the supervision of your account, including determining the suitability of transactions in your account, are performed by Broker. Clearing Firm does not have any supervisory authority or responsibility, under the agreement or otherwise, with respect to the activities of Broker or with respect to your Account.

Moreover, unless Clearing Firm receives from you prior written notice to the contrary, it may accept from Broker as your agent, without any inquiry or investigation: (a) all orders for the purchase or sale of securities and other property in your account on margin or otherwise, and (b) any other instructions concerning your account or the property therein, including the transfer of funds to you or third parties. The following is a more detailed description of the responsibilities and functions allocated under the agreement.

### **Responsibilities of Broker:**

Broker is exclusively responsible for:

1. Opening, approving and monitoring your account, including obtaining, verifying and retaining (a) information necessary to establish your account, (b) information relevant to the assessment of the suitability of transactions recommended to you (including your investment objectives and financial needs and resources), and (c) all other information and documentation with respect to your account that may be required by any applicable law, rule or regulation.
2. Any and all securities transactions in your account, including (a) having reasonable grounds for believing that any recommended transaction is suitable on the basis of facts, if any, disclosed by you as to your investment objectives, other security holdings and financial situation, and (b) that any transactions entered for your account are made in compliance with all applicable laws, rules and regulations.
3. Any investment advice given to you by your Account Executive (broker) or any employees of Broker.
4. Accepting, recording and executing transactions for your account or transmitting orders or instructions from you to Clearing Firm for the execution of transactions for your account.
5. Obtaining and providing to Clearing Firm all data necessary for the proper performance of any functions allocated to Clearing Firm with respect to your account.
6. Investigating and responding to any inquiries or complaints you may have concerning your account and promptly providing written notice to Clearing Firm of any complaint made with respect to the services provided by or functions allocated to Clearing Firm.
7. Ensuring that its employees comply with all applicable laws, rules and regulations, including, without limitation, the furnishing of any required prospectus or other disclosure statements.
8. Establishing the commissions charged to you for all transactions executed for your account and making details of such charges available to you upon your request.

9. Complying with all applicable laws, rules, regulations and restrictions regarding receipt of securities or funds.

### **Responsibilities of Clearing Firm:**

Clearing Firm is responsible for:

1. Establishing and carrying an account for you based on information provided by Broker.
2. Settling and clearing securities transactions in your account in accordance with Broker's instructions. Unless Clearing Firm receives from you prior written notice to the contrary, Clearing Firm relies on instructions and orders received from Broker, as your agent, as being authorized by and suitable for you, and make no independent inquiry as to your authorization or the suitability of any transaction in your account.
3. Executing securities transactions for your account if requested by and in accordance with instructions received from Broker. Clearing Firm will not execute any order received directly from you. If Broker gives specific instructions with respect to the routing of your orders, Clearing Firm will follow those instructions. If Broker does not give specific instructions with respect to the routing of your orders, Clearing Firm may execute the order itself, execute the order with another securities firm that is a market maker, or execute the order through a primary or regional exchange.
4. Preparing and transmitting, or supplying Broker with the information necessary to prepare and transmit, confirmations of securities transactions for your account.
5. Preparing monthly or periodic statements of your account and transmitting such statements to you at the address provided by Broker.
6. Preparing and maintaining such books and records as are required for a broker-dealer performing the functions of a clearing broker pursuant to the agreement between Broker and Clearing Firm and pursuant to all applicable laws, rules and regulations.
7. Receiving, delivering, holding and disbursing funds and securities for your account, including paying or collecting any interest or dividends and processing any exchange or tender offers, redemptions, conversions and the exercise of any options or rights with respect to securities, in each case in accordance with instructions received from Broker.
8. Extending credit to you for the purchase or sale of securities in your account in accordance with the margin agreement between you and Clearing Firm and in accordance with all applicable laws, rules and regulations.
9. Providing custody of funds and securities in your account while such funds and securities are in the possession of Clearing Firm.
10. Processing any instructions received regarding transfer of your account to another securities firm.

Please note that you are directly responsible to Clearing Firm, as carrying broker of your account, for the payment of all securities purchased in and the delivery of all securities sold for your account by or upon order of Broker.

Please direct any questions you may have to Broker about the functions allocated between Broker and Clearing Firm. In the event you have any questions regarding those areas for which Clearing Firm is responsible which your Broker cannot answer, please feel free to call Clearing Firm at 212-357-2266.

# Bearer Share Entity Form

This Bearer Share Entity Form must be completed by any new client that is a private investment vehicle (PIV), personal holding company (PHC), private corporation, Limited Liability Corporation (LLC), limited partnership, charity or foundation.

A “Bearer Share Entity” is a corporation, which, pursuant to the laws of the jurisdiction in which it was organized, is permitted to issue shares in bearer form, meaning that the ownership interest in the corporate entity is not registered with the relevant regional authority, but rather resides with the person who physically possesses the share certificates.<sup>1</sup>

## Please answer the following questions:

1. Is the client a Bearer Share Entity?  Yes  No
2. Is any entity that wholly or partially owns the client a Bearer Share Entity?  Yes  No

If the answer is **Yes**, please indicate all entities in the client’s ownership structure that are Bearer Share Entities below.

**If you answered “Yes” to Question 1 or 2**, prior to opening an account, for each Bearer Share Entity in the ownership structure, you must provide the following:

- Organizational documents (e.g., articles of incorporation and/or memorandum of association)
- The Share Register, **and**
- Share Certificates

**If you answered “No” to Questions 1 and 2 and the client was organized in a Bearer Share Jurisdiction<sup>1</sup>**, prior to opening an account, you must provide the following:

- Client’s organizational documents
- The Share Register, **and**
- Share Certificates

*\* Please note that additional documentation may be required for Bearer Share Entities, depending upon a review of the information provided.*

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<sup>1</sup> Bearer Share Jurisdictions include: Antigua, Aruba, Austria, Bahamas, Belize, BVI, Cayman Islands, Cyprus, Germany, Liberia, Liechtenstein, Marshall Islands, Mauritius, Netherlands Antilles, Panama, Paraguay, Seychelles, Switzerland, United States (Delaware, Nevada and Wyoming only), Uruguay and Western Samoa

**Goldman Sachs Execution and Clearing LP**  
**PROSPECTIVE CLIENT APPLICATION**

ENTITY NAME: \_\_\_\_\_

PRINCIPALS: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

TRADING / RISK CONTACT: \_\_\_\_\_

PHONE # \_\_\_\_\_

EXPECTED START DATE: \_\_\_\_\_

**1) TYPE OF ACCOUNT (All that apply)**

EQUITY      FUTURES      PORTFOLIO MARGIN      BROKER DEALER      JBO

CROSS MARGIN (All that apply) :

CME      CFE      ICE

**2) WHAT PRODUCTS WILL YOU TRADE / TRADING STRATEGY?**

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

Anticipated long/short market values: \_\_\_\_\_

**3) METHOD OF EXECUTION**

REDI      FIX CONNECTION VIA REDI

OTHER (Please Describe) \_\_\_\_\_

**4) IS THE ACCOUNT INTRODUCED?      YES      NO**

(If Yes, what is the IB Name \_\_\_\_\_)

**5) IS THE ACCOUNT A CHANGE OF STATUS?      NO      YES**

(If yes, Previous Entity Name: \_\_\_\_\_)

**6) ARE THERE ANY GS AFFILIATE RELATIONSHIPS?**

(List all: \_\_\_\_\_)

**7) HISTORY:**

Previous Clearing Firm: \_\_\_\_\_ Reasons for Leaving: \_\_\_\_\_

Previous Experience: \_\_\_\_\_

Will there be a **Transfer of Positions?**      NO      YES (If yes, entity is required to **attach electronic copy of positions**)

Industry References: \_\_\_\_\_

Do you have any Outstanding Debts with GSEC or any other Clearing Firms?      NO      YES (If yes, amount: \$\_\_\_\_\_)

Is the Entity dual clearing?      N      Y (If yes, firm: \_\_\_\_\_) **Initial Account Deposit/Capitalization:** \_\_\_\_\_

.....  
**ACCOUNT SPONSOR:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**RISK APPROVAL/COMMENTS:** \_\_\_\_\_