

Options Trading Information and Experience

What is your frequency of option transactions? per week _____ or per month _____
What is the average size of your transactions? \$1,000 \$5,000 \$10,000 Other _____
Please complete both equity and index option trading plans and trading experience. Check all that apply.

| Equity Options Trading Plans: | Trading experience: | | | | Index Options Trading Plans: | Trading experience: | | | |
|---|-------------------------------|-----------------------------------|------------------------------------|---|-------------------------------|-----------------------------------|------------------------------------|--|--|
| <input type="checkbox"/> Covered Writing | <input type="checkbox"/> None | <input type="checkbox"/> Moderate | <input type="checkbox"/> Extensive | <input type="checkbox"/> Covered Writing | <input type="checkbox"/> None | <input type="checkbox"/> Moderate | <input type="checkbox"/> Extensive | | |
| <input type="checkbox"/> Purchases | <input type="checkbox"/> None | <input type="checkbox"/> Moderate | <input type="checkbox"/> Extensive | <input type="checkbox"/> Purchases | <input type="checkbox"/> None | <input type="checkbox"/> Moderate | <input type="checkbox"/> Extensive | | |
| <input type="checkbox"/> Spreads | <input type="checkbox"/> None | <input type="checkbox"/> Moderate | <input type="checkbox"/> Extensive | <input type="checkbox"/> Spreads | <input type="checkbox"/> None | <input type="checkbox"/> Moderate | <input type="checkbox"/> Extensive | | |
| <input type="checkbox"/> Uncovered Writing and combinations | <input type="checkbox"/> None | <input type="checkbox"/> Moderate | <input type="checkbox"/> Extensive | <input type="checkbox"/> Uncovered Writing and combinations | <input type="checkbox"/> None | <input type="checkbox"/> Moderate | <input type="checkbox"/> Extensive | | |

Account Billing

Advisor's billing structure for client accounts:

Type: Flat Fee Deduction Percentage of Assets
Billed: Monthly Quarterly Semi-Annually Annually
Method: In Advance In Arrears Average Balance

Billing Percentage of assets for Client Accounts: _____

Authorization

To Trade-PMR, Inc.: As the authorized representative able to sign on behalf of the above named Advisor, I hereby attest that I have read, understand and agree to the terms stated in the enclosed Advisor Agreement. *The enclosed Advisor Agreement contains a pre-dispute arbitration clause. (Please see paragraph #9 of the Advisor Agreement for full details.)*

I also certify, under the penalties of perjury, that the number shown on this form is the correct taxpayer ID number, and that the Advisor or its control affiliates are not subject to withholding because; (a) the Advisor or its control affiliates have not been notified that they are subject to backup withholding as a result of a failure to report all interest or dividends, or (b) the Internal Revenue Service has notified the Advisor or its control affiliates that they are no longer subject to backup withholding. Note: You may strike out any part of this statement that does not apply.

X _____ Date _____
Signature of Principal, Officer, or other Authorized Person

Please Print Name

TradePMR Use Only

Trade-PMR Acceptance Authorization

X _____ Date _____
Signature of Authorized TradePMR Representative

Please Print Name

Advisor Code Issued

TRADE-PMR, INC.
PO Box 358230, Gainesville, FL 32635-8230
Member of FINRA/SIPC

ADVISOR AGREEMENT

In consideration of Trade-PMR, Inc. accepting and carrying one or more securities accounts ("Securities Accounts") on behalf of the investment advisory firm, hereinafter referred to as the Advisor, the Advisor hereby understands and agrees to the following:

1. **Meaning of Words in this Agreement.** The words "I", "me", "my", and "us", refer to the person(s) who signed this Agreement on behalf of, and in representation of all officers, directors, shareholders and personnel of the Advisor listed above.
2. **Legal Capacity to Enter Into Agreement.** I am at least the age of 18 years and am of full legal age in the state in which I reside, and am authorized to enter into this Agreement on behalf of the Advisor. If I am an employee, member or partner of any security exchange or member firm thereof, of any corporation a majority of the stock of which is owned by any exchange or a broker/dealer I have so indicated on the above Advisor Application and Agreement. I also agree to notify you promptly if I should later become employed in any of the capacities cited above.
3. **Clearing Broker.** I understand that I have entered into an Agreement with Trade-PMR, who has entered into an agreement with SAL Financial Services, Inc. to execute and clear securities transactions in those Securities Account I manage. I further understand and agree that SAL Financial Services, Inc. will carry and maintain such Securities Accounts, except as may otherwise be provided in this Agreement.
4. **Certification of Eligibility.** I certify that the Advisor is registered and in good standing with the United States Securities and Exchange Commission as an investment advisor under the Investment Advisers Act of 1940, and/or registered as an investment advisor in all states where such registration is required (as an RIA). I agree that if the Advisor's registration status as an RIA is suspended or revoked or has lapsed for any reason or if the Advisor becomes subject to any disciplinary action by a federal or state regulatory authority, I will immediately notify Trade-PMR and cease any purchase transaction of securities in any underlying account that I or the Advisor has authority to manage.
5. **Advice.** Trade-PMR does not give investment, legal or tax advice, and will not advise me concerning the nature, potential value, or suitability for me on any particular security transaction or investment strategy.
6. **Recording Conversations.** I understand and agree that, for our mutual protection, Trade-PMR may record any of our telephone conversations without further notice.
7. **Notice of Changed Name, Address, Bank, Employment.** I agree to promptly notify Trade-PMR in writing of any change to the Advisor's name, address, or Settlement Account.
8. **Governing Laws.** This Agreement shall be governed by the laws of the State of Florida.

9. ARBITRATION DISCLOSURES

- **ARBITRATION IS FINAL AND BINDING ON THE PARTIES.**
- **THE PARTIES ARE WAIVING THEIR RIGHT TO SEEK REMEDIES IN COURT, INCLUDING THE RIGHT TO JURY TRIAL.**
- **PRE-ARBITRATION DISCOVERY IS GENERALLY MORE LIMITED THAN AND DIFFERENT FROM COURT PROCEEDINGS.**
- **THE ARBITRATORS AWARD IS NOT REQUIRED TO INCLUDE FACTUAL FINDINGS OR LEGAL REASONING AND ANY PARTY'S RIGHT TO APPEAL OR TO SEEK MODIFICATION OR RULING BY THE ARBITRATORS IS STRICTLY LIMITED.**
- **THE PANEL OF ARBITRATORS WILL TYPICALLY INCLUDE A MINORITY OF ARBITRATORS WHO WERE OR ARE AFFILIATED WITH THE SECURITIES INDUSTRY.**
- **NO PERSON SHALL BRING A PUTATIVE OR CERTIFIED CLASS ACTION TO ARBITRATION, NOR SEEK TO ENFORCE ANY PRE-DISPUTE 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 CUSTOMER IS EXCLUDED FROM THE CLASS BY THE COURT. SUCH FORBEARANCE TO ENFORCE AN AGREEMENT TO ARBITRATE SHALL NOT CONSTITUTE A WAIVER OF ANY RIGHTS UNDER THIS AGREEMENT EXCEPT TO THE EXTENT STATED HEREIN.**

ARBITRATION: I EXPRESSLY ACKNOWLEDGE AND AGREE THAT ALL CLAIMS, DISPUTES AND OTHER MATTERS ARISING OUT OF OR RELATING TO THIS AGREEMENT SHALL BE SUBMITTED TO THE ARBITRATION BOARD OF THE NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC. (NASD), UNLESS OTHERWISE PROVIDED BY LAW. THIS EXPRESS AGREEMENT TO SUBMIT TO BE BOUND BY ARBITRATION INCLUDES, BUT IS NOT LIMITED TO, DISPUTES ARISING UNDER THE SECURITIES ACT OF 1933, THE EXCHANGE ACT OF 1934, CLAIMS ARISING UNDER THE RACKETEER INFLUENCED AND CORRUPT ORGANIZATIONS ACT (RICO), STATE OR COMMON LAW FRAUD AND SECURITIES STATUTES, AS WELL AS OTHER FEDERAL SECURITIES LAWS CLAIMS WHICH MAY ARISE TO THE EXTENT PROVIDED BY LAW. THIS PROVISION TO ARBITRATE SHALL BE SPECIFICALLY ENFORCEABLE UNDER THE PREVAILING ARBITRATION LAW AND PROCEDURES. THE AWARD RENDERED BY THE ARBITRATORS SHALL BE FINAL, AND JUDGEMENT MAY BE ENTERED UPON IT IN ANY COURT HAVING JURISDICTION THEREOF. COUNSEL CAN ADVISE ME ON HOW THIS PROVISION MAY AFFECT ME.

10. **Debit Balance Accounts.** I understand and agree that should any account of said advisors come into a negative balance with SAL Financial, SAL Financial has the right to withdraw debit balance from advisors Sundry Account or bill advisor directly.
11. **Effectiveness.** I understand that this Agreement is not effective until approved by Trade-PMR, Inc. and SAL Financial Services, Inc., each in its sole discretion.