

Congratulations on creating an account at optionsXpress, Inc.! Please use the following documentation checklist to complete the account opening requirements.

All documents may be sent via email, fax, or mail:

1. **Email** - scan your documents and email to support@optionsxpress.com [mailto:support@optionsxpress.com]
2. **Fax** - fax paperwork to (312) 629-5256, Attention: New Accounts
3. **Mail** - Paperwork can be mailed to:
optionsXpress, Inc.
P. O. Box 2197
Chicago, IL 60690-2197

New Account Application Checklist

☐ **Signed New Account Application**

This is the first document that will print off immediately following the checklist. Please ensure that the application has been signed by all account holders/authorized signers on the account.

☐ **Photo Identification (ID)**

A copy of a non-expired government-issued photo ID from each account holder. The ID must show the current address of an account holder. Valid IDs include:

- Driver's License (front and back)
- Passport
- Military ID (front and back)
- State ID (front and back)

IMPORTANT: If the address on your photo ID does NOT match the address you used for your account profile, we will also require a copy of a recent utility bill, less than three months old, showing your full name and matching address.

If you have any questions about any of the information required, please feel free to contact us at: **(888) 280-8020**.

*Understand that with this option there is inherent risk of possible loss of data, as there would be with any email message. By selecting this method, you acknowledge that optionsXpress is not responsible for lost data from any such email message from you containing personal information, nor for any result there from.

This document may print across multiple pages. Please read and include all printed pages when submitting this application.

Username	lips66	Date of Birth	04/10/1966
Account Entity	Individual	Citizenship	citizen
Account Preferences	Cash Margin Option Trade Options	SSN	482-78-9268
Name	MR. ROBERT PHILLIPS	Liquid Net Worth	\$100,000 to \$250,000
Address	8016 Bellona Avenue #8 Riderwood MD 21139 United States	Net Worth	\$100,000 to \$250,000
Phone Number	865-512-6091	Annual Income	\$100,000 to \$250,000
Email	lips66@gmail.com	Tax Bracket	15 to 30%
Marital Status	single (never married)	Trade Stocks Since	1997
Dependents	0	Trade Options Since	2010
Employment Status	employed	SEC Rule 14B-1(C)	yes
Employer	Stansberry & Associates	Investment Objectives	income
Nature of Business	investment research	Money Market Sweep	No
Occupation	sales	I am not associated or employed by a FINRA, NFA, or an Exchange Member Firm.	
Years Employed	1		

1094734

All confirmations, statements, tax statements and forms shall be delivered electronically only and subject to, the electronic delivery agreement between you and optionsXpress.

Options Agreement Terms: I represent that I am aware of the inherent risks associated with options trading and that I am financially able to bear such risks and withstand options trading losses. I have read and understood the terms and conditions that govern this options account and the special risk statement for uncovered option writers, where applicable, and agree to be bound by them as currently in effect and as amended from time to time. I have also fully read and understood the disclosure document entitled Characteristics and Risks of Standardized Options issued by the Options Clearing Corporation and delivered to me by optionsXpress, Inc. either electronically or in hard copy.

Loan or Pledge of Securities (Margin Customers Only): I hereby authorize optionsXpress, Inc. ("optionsXpress") to lend either to itself or to others any securities held by the broker in my margin account and to carry such property in its general loans. I agree to the terms contained in the "Appendix A – Margin Account Special Agreement Terms" and will be charged interest in accordance with such terms. Such property may be pledged, repledged, hypothecated or rehypothecated without notice to me either separately or in common with other such property for any amounts due to optionsXpress thereon or for a greater sum and "optionsXpress" shall have no obligation to retain a like amount of similar property in its possession and control. By signing this agreement I acknowledge that the securities in my margin account may be loaned to "optionsXpress" or loaned out to others. I also acknowledge optionsXpress' right to liquidate securities held in my account at any time and without prior notice to me, in optionsXpress' sole discretion when such action is anticipated or deemed necessary to protect optionsXpress from potential loss.

Agreement to "Account Terms and Conditions": I (or we) hereby request that optionsXpress, Inc., ("optionsXpress") open an account as indicated above, and I acknowledge that I have read and understood both the "Account Terms & Conditions" agreements that govern this account and all agreements regarding use of data and exchange quotes, and I agree to be bound by these agreements as currently in effect and as amended from time to time that may be applicable to my account including, if applicable, additional terms and conditions that may apply to Health Savings Accounts, and such other agreements posted on the optionsXpress website. I have legal capacity to enter into and be bound by this legal contract. I agree to promptly advise optionsXpress in writing of any change in my residential, employment, and financial or legal status. I agree to receive all account notices, including all confirmation of trades, by electronic means and to access my account regularly to receive such notices. I EXPRESSLY ACKNOWLEDGE THAT optionsXpress DOES NOT MAKE RECOMMENDATIONS REGARDING INVESTMENTS, TAXES, OR LEGAL MATTERS. **I understand that my account is governed by a pre-dispute arbitration clause contained in optionsXpress' "Account Terms and Conditions" section #46.**

W-9

Substitute IRS Form W-9: Under penalties of perjury, I certify that: 1. The number shown on this form is my correct taxpayer

identification number (or I am waiting for a number to be issued to me), and 2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and 3. I am a U.S. person (including a U.S. resident alien). **The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.**

X

CUSTOMER SIGNATURE

Date

|STK|SPT|CC|