



# NEW BROKERAGE ACCOUNT APPLICATION



To open your new Athena Equity Brokerage Account, we need to obtain your original signature and requested information on each form to comply with various regulations.

1. Please print this Account Application.
2. Complete the requested information.
3. Sign and initial where indicated.
4. Scan and Email the documents to:  
Client Services Dept:  
[accounts@ateqmx.com](mailto:accounts@ateqmx.com)

Once we receive your application(s), our Client Services Officer will call you to verify and process your application.



<b>Registration Type</b>  <input type="checkbox"/> Individual <input type="checkbox"/> Corporation or Partnership* : ____Exempt ____Non-Exempt <input type="checkbox"/> Individual <input type="checkbox"/> Tenants in Common <input type="checkbox"/> Joint Tenants with Rights of Survivorship <input type="checkbox"/> Custodian for Minor <input type="checkbox"/> UTMA <input type="checkbox"/> UGMA <input type="checkbox"/> Other :  <input type="checkbox"/> Cash <input type="checkbox"/> Margin* <input type="checkbox"/> Option* <input type="checkbox"/> Procash Plus* <input type="checkbox"/> IRA*	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Account Number</td> <td style="width: 50%;">RR No.</td> </tr> </table> <p style="text-align: right; font-size: small;"><i>*Additional documents are required to open these types of accounts Settlement Account Type: Manual</i></p>	Account Number	RR No.
Account Number	RR No.		

Personal Information (PRIMARY)	Personal Information (SECONDARY) if any				
GIVEN NAME ((Title) LAST NAME, MIDDLE NAME, FIRST NAME)	GIVEN NAME ((Title) LAST NAME, MIDDLE NAME, FIRST NAME)				
STREET ADDRESS					
CITY	STATE				
CITY	STATE				
COUNTRY	POSTAL				
COUNTRY	POSTAL				
Social Security or Tax I.D. No.					
Social Security or Tax I.D. No.					
Country of Citizenship	Date of Birth				
Country of Citizenship	Date of Birth				
Evening Telephone No.	Day Telephone No.				
Evening Telephone No.	Day Telephone No.				
Email Address					
Email Address					
Mailing Address (if different than above)					
Mailing Address (if different than above)					
ID Type	State/Gov't Issuer	Issue Date	ID Type	State/Gov't Issuer	Issue Date
<input type="checkbox"/> Driver's License			<input type="checkbox"/> Driver's License		
<input type="checkbox"/> Passport	ID No.	Expiration Date	<input type="checkbox"/> Passport	ID No.	Expiration Date
<input type="checkbox"/> Other			<input type="checkbox"/> Other		

Bank Information	Bank Account Type <input type="checkbox"/> Checking <input type="checkbox"/> Savings
Bank Name	Account Name
Bank Address	Account Number
Bank SWIFT CODE	Account Holder's Full Address

Securities industries regulations require that we collect this information. It also helps recommend the right account features for your needs.

Additional Info (PRIMARY)	Additional Info (SECONDARY)
Years of Investment Experience	Annual Income (\$ USD)
Years of Investment Experience	Annual Income (\$ USD)
Financial Net Worth (\$ USD)	Total Net Worth (\$ USD)
Financial Net Worth (\$ USD)	Total Net Worth (\$ USD)
Tax Bracket	Tax Bracket
<input type="checkbox"/> 0% - 15% <input type="checkbox"/> 16%- 27% <input type="checkbox"/> 28%+	<input type="checkbox"/> 0% - 15% <input type="checkbox"/> 16%- 27% <input type="checkbox"/> 28%+
Investment Objective	Investment Objective
<input type="checkbox"/> Income <input type="checkbox"/> Income & Growth <input type="checkbox"/> Growth <input type="checkbox"/> Speculative	<input type="checkbox"/> Income <input type="checkbox"/> Income & Growth <input type="checkbox"/> Growth <input type="checkbox"/> Speculative
Risk Tolerance	Risk Tolerance
<input type="checkbox"/> Below Average <input type="checkbox"/> Average <input type="checkbox"/> Above Average <input type="checkbox"/> Aggressive	<input type="checkbox"/> Below Average <input type="checkbox"/> Average <input type="checkbox"/> Above Average <input type="checkbox"/> Aggressive
Investment Time Frame (Years)	Investment Time Frame (Years)

Employment Details (PRIMARY)				Employment Details (SECONDARY)			
Occupation				Occupation			
Employer' Name (Company)				Employer' Name (Company)			
Employer Years		Status		Employer Years		Status	
Employer Address				Employer Address			
City		State		City		State	
Postal	Country			Postal	Country		

### About this account

- Are you a director, a 10% shareholder or an officer of a publicly traded company?  YES  NO
- Are you associated with a brokerage firm, a member of a stock exchange or the NASD?  YES  NO
- Have you ever filed for arbitration or sought other legal remedies against a brokerage firm?  YES  NO

Source of Funds	Purpose of this Account
<input type="checkbox"/> Salary / Wages / Savings <input type="checkbox"/> Social Security Benefits <input type="checkbox"/> Sale of Property or Business <input type="checkbox"/> Family / Relatives / Inheritance <input type="checkbox"/> Investment Capital Gains <input type="checkbox"/> Gifts <input type="checkbox"/> Gambling / Lottery <input type="checkbox"/> Other : _____	<input type="checkbox"/> General Investing <input type="checkbox"/> Investing for Estate Planning <input type="checkbox"/> Investing for Tax Planning <input type="checkbox"/> Investing for College <input type="checkbox"/> Investing for Retirement <input type="checkbox"/> Investing for Pooled Assets <input type="checkbox"/> Other : _____

### Account Features

**ATEQ Trading Services**

Get complimentary access to our best trading tools and services plus specialized help from our Financial Advisor at no trade minimum required.

**Options Trading**

Request approval to trade options. Your options trading application will be reviewed based on your trading experience, financial profile and other criteria. Options carry a high level of risk and are not suitable for all investors.

**Margin Trading**

Borrow or purchase additional securities using all your ATEQ brokerage assets as collateral for your margin loan.

**Futures Trading**

Apply for futures trading with ATEQ Futures Group. Once you've completed the brokerage application process, you'll be transferred to the futures application, where you'll be asked a few more questions. If your futures application is approved, your futures account will be linked to your ATEQ brokerage account.

**Please review your information, read the Agreements below before signing.**

**This document contains a pre-dispute arbitration clause, which appears on the reverse side in paragraph 15.**

DISCLOSURE: X \_\_\_\_\_ (please initial) I/we have been advised and understand that non-deposit products (stocks, bonds, mutual funds, unit investment trusts, fixed and variable annuities, and insurance products), offered by Athena Equity (1) are not insured or guaranteed by the Federal Deposit Insurance Corporation (FDIC), NCUA, or any other government agency (with the exception of brokered CDs). Furthermore, non-deposit products (2) are not deposits of this institution; (3) are not obligations of, or guaranteed by this financial institution; (4) and may involve investment risks, including the potential loss of principal. I am aware that there are fees associated with the purchase or sale of mutual funds and/or annuities, and a copy of such prospectus has been provided to me. I/we understand that this financial institution may not condition the extension of credit on my purchase of an insurance product or annuity from this financial institution or one of its affiliates and that this financial institution may not prohibit me from purchasing an insurance product or annuity from an unaffiliated entity. I have received a copy of the Client Agreement, located on the reverse side of this application.

Under the penalties of perjury, I (we) certify 1) that the identification number(s) indicated above is (are) correct, and 2) I am not a U.S. person. 3) that I (we) am (are) subject to backup withholding as a result of failure to report all interest or dividends, or the Internal Revenue Service has notified me (us) that I (we) am (are) no longer subject to backup withholding. (Please check here \_\_\_\_\_ only if you are subject to backup withholding). The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid back-up withholding.

X \_\_\_\_\_  
 Client Signature Primary Account Holder

\_\_\_\_\_  
 Date

X \_\_\_\_\_  
 Client Signature Secondary Account Holder

\_\_\_\_\_  
 Date

Registered Principal Signature  
 ATEQ USE ONLY

ATHENA EQUITY USE ONLY

## Additional Documentation

Additional forms are required when opening the following accounts.

<b>Corporate Resolution</b> The form must be signed by the corporation's secretary and have the company's seal or be notarized. For companies of organizations that are not incorporated, please use the Non-Corporate Resolution.	<b>Account Transfer</b> This form is used to transfer your account from another brokerage firm, bank, or mutual fund. The names listed on the accounts must match and a copy of your most recent statement must accompany this form.
<b>Traditional IRA</b> This form, in addition to the standard application, is used when establishing a Participant, Rollover, Spousal, Guardian, or Beneficiary Individual Retirement Account.	<b>Roth IRA</b> This form is required, in addition to the standard application, when establishing a Roth IRA account
<b>Margin Account</b> This form is used to establish a margin account.	

## Athena Equity

### Limited Trading Authorisation

Name of ATEQ Agent (advisor):

#### Do not complete Limited Trading Authorisation section unless you have agreed specific reasons with your advisor!

Client wishes to authorise broker / advisor (hereafter referred to as "Agent") of Athena Equity to act as my Agent to buy, sell (including short sales) and to trade in commodities, commodity or financial futures and options, spot or forward foreign currencies, contracts for differences, and any other investment transactions whether trading on margin or otherwise, for my Account or Accounts held with Athena Equity.

EXCEPT AS SET FORTH IN THE TERMS CONTAINED HEREIN MY AGENT IS NOT AUTHORISED TO WITHDRAW ANY MONEY OR OTHER PROPERTY FROM MY ACCOUNT OR ACCOUNTS OR OTHERWISE HELD WITH Athena Equity IN MY NAME.

My agent is Authorised to act for me in the same manner and with the same force and effect as if I had taken such action with Athena Equity. I Authorise Athena Equity to follow my Agent's instructions regarding these purchases, sales, or trades, in every respect and I approve of any transactions my Agent makes with Athena Equity for my Account. These transactions will be made according to the terms and conditions of agreements I have already agreed to for my Accounts with Athena Equity, and I will be fully liable for them. I agree to indemnify Athena Equity and hold Athena Equity harmless from and to pay Athena Equity promptly on demand for any losses and if there is any money due on my Account. This trading Authorisation and my promise to pay Athena Equity for any losses are in addition to any rights I may have under other agreements between Athena Equity and myself. This is not meant to limit or restrict my rights in any way. However, I acknowledge and agree that Athena Equity reserves the right to review and reject any of my Agent's transaction requests. I and my Agent agree that this Authorisation is binding on each of us as well as on my heirs, executors, administrators, successors and assigns. Athena Equity will continue to deal with my Agent until this Authorisation is ended when Athena Equity receives either my written notice of revocation or proof of my death. The parties hereto have requested that this agreement be drawn up in the English language only.

X

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Client Signature Primary Account Holder

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Client Name

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Date

## CLIENT AGREEMENT

To help the government fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account. It is commonly called know your client and this is what this means for you: When you open an account, we will ask for your name, address, date of birth and other information that will allow us to identify you. Additionally we will need a copy of your passport or driving licence as proof of ID, plus a copy of a utility bill within the past 3 months as proof of address.

### \*Investment Profile Guide

1. The Income category should represent the income of all account holders.
2. The Financial Net Worth should represent the net worth of the account holder(s) less the value of their home. Total Net Worth should indicate net worth including all assets less liabilities.
3. Tax Bracket should indicate the highest tax bracket of the account holder(s).
4. The Investment Objectives category selections are define as follows:
  - Income - identifies clients seeking income from their investments.
  - Income & Growth - indicates a client whose objectives include both Growth and Income components.
  - Growth - identifies clients seeking growth from their investments.
  - Speculative - should be indicated for clients who are willing to assume very high risk in seeking higher returns in their investments.
5. Risk Tolerance - use this category to designate how much risk the client is willing to accept in order to achieve their goals for this account.
  - Below Average Risk - willing to only accept small fluctuations in value to achieve investment objectives.
  - Average Risk - willing to take on moderate fluctuations in value with overall market.
  - Above Average Risk - willing to accept a higher than average amount of risk and declines in value to reach their goals.
  - Aggressive - identifies customers that will assume very high risk on speculative investments to earn higher returns.
6. Time Frame - The investment time horizon for this account.