TradeUP Securities

NEW ACCOUNT APPLICATION

TradeUP Securities Inc.
101 Eisenhower Parkway
Roseland, NJ 07068
Member FINRA/SIPC
1-800-962-7726
www.marsco.com
Fax: 973-228-9762

1. ACCOUNT TYPE

☐ Individual ☐ Joint (JTWROS) ☐ Partnership* ☐ Investment Club* ☐ Trust*
☐ Corporation* ☐ Custodian (Use minor's SSN) ☐Other _____
*Requires an additional form, see "Form Center" at www.marsco.com

Please tell us how you heard about TradeUP Securities:
☐ Internet ☐ Newspaper ☐ TV
☐ Referral ☐ Radio ☐ Other _____

2. FUNDING YOUR ACCOUNT

Marsco opens all accounts as margin unless otherwise indicated.

Please make your check payable to Marsco Investment Corporation and mail this signed application to the address below. Minimum deposit required is $2500. Enclosed is my personal check for $_____

3.

OWNER	JOINT OWNER
TITLE OF ACCOUNT (IF APPLICABLE NAME OF CORPORATION/PARTNERSHIP/TRUST/ETC.)	
NAME FIRST MIDDLE LAST	NAME FIRST MIDDLE LAST
STREET ADDRESS	STREET ADDRESS
CITY STATE ZIP	CITY STATE ZIP
HOME PHONE # / WORK # / CELL #	HOME PHONE # / WORK # / CELL #
SOCIAL SECURITY NUMBER OR TAX ID NUMBER / DATE OF BIRTH	SOCIAL SECURITY NUMBER OR TAX ID NUMBER / DATE OF BIRTH
CITIZENSHIP ☐U.S.☐ Resident Alien ☐Non-Resident Alien—Indicate Country:	CITIZENSHIP ☐U.S. ☐Resident Alien ☐Non-Resident Alien—Indicate Country:
OCCUPATION	OCCUPATION
EMPLOYER NAME AND ADDRESS	EMPLOYER NAME AND ADDRESS

4. E-MAIL ADDRESS

You may simply log into your account to view, print, or save your documents.

E-MAIL ADDRESS _____ ☐ I decline electronic delivery and request delivery by U.S. Mail.

5. PLEASE ANSWER THE FOLLOWING FINANCIAL INFORMATION AND ACKNOWLEDGEMENTS

APPROXIMATE ANNUAL INCOME	***ESTIMATED NET WORTH**	***INVESTABLE ASSETS**
☐ Under $25,000	☐ Under $25,000	☐ Under $25,000
☐ $25,000-$50,000	☐ $25,001-$100,000	☐ $25,001-$100,000
☐ $50,001-$100,000	☐ $100,001-$500,000	☐ $100,001-$500,000
☐ $100,000+	☐ $500,000+	☐ $500,000+
	***(Exclusive of home)**	***(including cash & securities)**

INVESTMENT OBJECTIVES: ☐GROWTH ☐INCOME ☐TRADING/SPECULATION
(I understand that my trading strategies are at my own discretion.)

Is any applicant employed by or affiliated with a securities firm, a securities exchange or FINRA? ☐ YES ☐ NO

Is the applicant an officer, director, affiliate or 10% shareholder of a publicly traded company? ☐ YES—CUSIP _____ ☐ NO

6. PLEASE READ THE INFORMATION BELOW AND SIGN TO OPEN A BROKERAGE ACCOUNT AFTER YOU HAVE READ THE GENERAL ACCOUNT AGREEMENT

I hereby request that a brokerage account is established with TradeUP Securities Inc. I understand that TradeUP Securities is a discount brokerage firm that accepts customer orders to trade securities without advice. I accept responsibility for and understand that my investment decisions and trading strategies are at my sole discretion and risk.

SECTION 1— GENERAL ACCOUNT AGREEMENT—I acknowledge that I have read, understood and agree to the terms and conditions set forth in the General Account Agreement available at www. Marsco.com and request that you accept one or more accounts in my name. I understand and agree that my account(s) will be governed by this Agreement and I am at least 18 years of age and of full legal age in the state in which I reside.

SECTION 2—TAXPAYER CERTIFICATION (Substitute W-9) - Under penalties of perjury I certify that:

1. The taxpayer identification number (TIN) shown on this form is correct (or I am waiting for one to be issued to me), and
2. I am not subject to backup withholding either 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) was notified by the IRS that I am no longer subject to backup withholding, and
3. I am a U.S. person (including a U.S. resident alien).

CERTIFICATION INSTRUCTIONS—Cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because of underreporting interest or dividends on your tax return. For real estate transactions, item 2 does not apply. You are not required to sign the Certification for mortgage interest paid, the acquisition or abandonment of secured property, contributions to an individual retirement arrangement (IRA), and generally payments other than interest and dividends, but you must provide your correct TIN.

SECTION 3—MARGIN AGREEMENT ACKNOWLEDGEMENT FORM— ☐ I DO NOT WANT MARGIN PRIVILEGES

By signing this acknowledgement form, you accept the terms of the enclosed agreement, and you acknowledge that you have read and understood the margin disclosure statement which details the risks associated with a margin account and you have read and understood the credit terms explained in the disclosure statement. Please be sure that all account owners sign this acknowledgement form.

THIS AGREEMENT CONTAINS A PRE-DISPUTE ARBITRATION CLAUSE IN PARAGRAPH 6 ON PAGE 2 OF THE GENERAL ACCOUNT AGREEMENT. I ACKNOWLEDGE RECEIVING A COPY OF

_____
Account Holder Signature Date

_____
Joint Account Holder Signature Date

FOR TRADEUP SECURITIES USE ONLY

_____
Principal Signature RR Signature Date

Account Number: _____

7. MAIL TO:

TradeUP Securities Inc., 101 Eisenhower Parkway, Roseland, NJ 07068, www.marsco.com