

Solicited Offer to Purchase Speculative Securities*

***Speculative Securities include Penny Stocks, Leveraged & Inverse ETF's.**

Please scan this into the approval queue in Laserfiche - B/D or RIA > Disclosure - prior to placing trades.

Account Registration:

#1 - _____
#2 - _____
#3 - _____
#4 - _____
#5 - _____

Account Number:

#1 - _____
#2 - _____
#3 - _____
#4 - _____
#5 - _____

The Undersigned recognizes and acknowledges the following:

Investor Initials

- | | |
|--|----------------------|
| 1) I am aware of the speculative nature of this investment. | <input type="text"/> |
| 2) I am aware that certain speculative securities are designed to be used for short-term investing and are not appropriate for a buy-and-hold investment strategy, or conservative investor. | <input type="text"/> |
| 3) I am aware of the inherent risks associated with my purchase of this security. | <input type="text"/> |
| 4) I am aware that speculative securities may result in a total loss of the entire investment, and that such total loss may occur in a short period of time. | <input type="text"/> |
| 5) I am aware that it may be very difficult, if not impossible, to sell speculative securities at any time should I need to. | <input type="text"/> |
| 6) I have received and reviewed the prospectus for this security. | <input type="text"/> |
| 7) I am aware that the objectives of this speculative security may not coincide with the overall objectives of my portfolio. | <input type="text"/> |

As the Advisor I believe this purchase to be suitable for this client due to the following:

PERSONAL DATA

DOB: _____ MARITAL STATUS: _____ # DEPENDENTS: _____

FINANCIAL DATA

Refers to: (refer to custodian if minor has none)

- ☐ Primary Investor ☐ Primary & Joint Investors or Minor ☐ Joint Investor or Minor
☐ Other: _____

Annual Income: ☐ <\$20,000 ☐ \$20,000 – \$50,000 ☐ \$50,000 – \$100,000 ☐ \$100,000 – \$200,000 ☐ \$200,000 – \$500,000 ☐ >\$500,000

Net Worth (Assets – Liabilities)

- ☐ <\$50,000, specify: _____ ☐ \$50,000 – \$100,000 ☐ \$100,000 – \$250,000 ☐ \$250,000 – \$500,000
☐ \$500,000 – \$1 million ☐ \$1 – \$2 million ☐ >\$2 million, specify: _____

Federal Tax Bracket(%)

Investable Net Worth _____ (Exclude home, auto, and furnishings. Includes liquid investments.)

INVESTMENT EXPERIENCE

Use one number to signify investment experience for each investment category: 1 None 2 Occasional 3 Frequent 4 Extensive

Stocks ☐ Bonds ☐ Options ☐ Commodities ☐ Real Estate ☐ Mutual Funds ☐ Insurance/Annuities ☐ REITs/DPPs/LPs
Penny Stocks ☐

INVESTMENT OBJECTIVES

Primary Investment Objective – Please select the one objective below that would best describe your investment objective for this registration type and/or account(s).

- ☐ Current Income ☐ High Current Income ☐ Growth & Income ☐ Growth ☐ Speculation

Secondary Investment Objective – If appropriate, please select up to two secondary investment objectives that coincide with any additional investments for this registration type and/or account(s). These choices will allow for additional investments outside of the primary objective identified above, assuming that the value of these investments do not move the entire portfolio out of the range suggested by the primary investment objective identified above.

- ☐ Current Income ☐ High Current Income ☐ Growth & Income ☐ Growth ☐ Speculation

TIME HORIZON

- ☐ 0-2 years ☐ 2-5 years ☐ 5-10 years ☐ 10+ years

Signature of Primary Investor (or Authorized Signer/Custodian/Trustee)

Date (mm-dd-yyyy)

Signature of Joint Investor (or Trustee)

Date (mm-dd-yyyy)

Registered Representative (Print name)

Signature of Registered Representative

Rep Number

Date (mm-dd-yyyy)

OSJ Principal Approval (if applicable)

Date (mm-dd-yyyy)