

MID-OHIO SECURITIES BROKERAGE ACCESS FORM

WHEN TO USE THIS FORM



- To establish a Brokerage account with your existing retirement account to purchase publicly traded securities.
- To establish a necessary Brokerage account when transferring publicly traded securities in-kind from another custodian.

Note: Brokerage accounts are established at National Financial Services, LLC, the clearing firm used by Mid-Ohio Securities as your broker. Mid-Ohio Securities is an affiliate of Equity Trust Company; however the brokerage account is being opened and maintained with Mid-Ohio Securities and all brokerage services and transactions in the brokerage account will be rendered and effected by Mid-Ohio Securities (not Equity Trust Company). There is **NO ADDITIONAL** fee to establish or maintain this account.

WARNING

Brokerage accounts are not bank accounts and neither the brokerage account nor the securities held, purchased or sold therein are FDIC Insured. The securities in such accounts are not deposits or other obligations of Equity Trust Company or Mid-Ohio Securities, nor guaranteed thereby. All such accounts are subject to investment risks, including loss of principal.

INSTRUCTIONS AND GUIDELINES



Complete all sections, sign and date and fax or mail for processing.

CONTACT INFORMATION



PHYSICAL ADDRESS:

Mid Ohio Securities
225 Burns Road
Elyria, OH 44035

For assistance, please contact us at:

TOLL FREE:
(877) 403-0369

OR EMAIL QUESTIONS TO:
midohio@midoh.com

SUBMISSION OPTIONS



BY FAX:
(440) 366-3753

BY EMAIL:
midohio@midoh.com

REGULAR MAIL:
Mid Ohio Securities
P.O. Box 1529
Elyria, OH 44036

OVERNIGHT MAIL:
Mid Ohio Securities
225 Burns Road
Elyria, OH 44035

DO NOT FAX OR MAIL THIS COVER PAGE

This form will serve only to open your brokerage account and establish online trading. **Brokerage services offered through Mid Ohio Securities are not available to clients who reside in the following 10 states: CT, HI, IL, MD, ME, MO, ND, NJ, RI, and WI.**

1 CURRENT INFORMATION

IRA ACCOUNT OWNER NAME	EQUITY TRUST ACCOUNT NUMBER
SOCIAL SECURITY NUMBER	DAYTIME PHONE NUMBER
EMAIL ADDRESS	DATE OF BIRTH

Physical Address: *(required to establish account)*

ADDRESS	CITY	STATE	ZIP CODE
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Mailing Address: *(if same as physical address leave blank)*

ADDRESS	CITY	STATE	ZIP CODE
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2 COMPLIANCE QUESTIONS (REQUIRED)

A. EMPLOYMENT INFORMATION:

Employed Unemployed Retired Refuse to Answer

If employed, complete the following questions.	OCCUPATION		
EMPLOYER NAME	ADDRESS		
CITY	STATE	ZIP CODE	
If Unemployed/Retired complete the following question.	SOURCE OF INCOME		

B. AFFILIATION INFORMATION:

- Are you a Senior Foreign Political figure, a family member or close relative of a Senior Foreign Political figure?
 Yes No
- Are you a control person or affiliate of a public company as defined in SEC Rule 144? Including, but not limited to 10% shareholders.
 Yes No If Yes, Control Relationship type? Director Policy Maker 10% Share Holder

COMPANY NAME	COMPANY CUSIP/SYMBOL
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- Are you employed by either a stock exchange or member firm of an exchange, the NASD, or a municipal securities broker/dealer?

Yes No If Yes, type of firm: NYSE NASD Bank Financial Institution

FIRM NAME	ADDRESS		
CITY	STATE	ZIP CODE	

C. SUITABILITY INFORMATION:

Annual Income (estimated) \$	<input type="checkbox"/> Refuse to Answer
Net Worth (estimated) \$	<input type="checkbox"/> Refuse to Answer

2 COMPLIANCE QUESTIONS - CONTINUED (REQUIRED)

INVESTMENT OBJECTIVES and EXPERIENCE:

Rank investment objectives in order of importance 1-5 (most important being 1)

___ Preservation of Capital ___ Income ___ Capital Appreciation ___ Speculation ___ Trading Profits

Risk Tolerance: Conservative Moderate Aggressive

General Investment Knowledge: Extensive Good Limited Decline to Answer

Investment Knowledge for the following:

	<u>NONE</u>	<u>LIMITED</u>	<u>GOOD</u>	<u>EXTENSIVE</u>	<u>NO ANSWER</u>
STOCKS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
BONDS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
MUTUAL FUNDS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
OPTIONS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3 ONLINE TRADING ACCESS INFORMATION

MyStreetscapesm

MyStreetscapesm is a comprehensive internet based solution developed by National Financial Services, an affiliate of Fidelity Investments, which gives you direct access to investment services from your personal computer. It meets your need for convenient, on-demand access to your brokerage investment information and trading.

Account Establishment Information:

- Online Trading Access through MyStreetscapesm will be set up with National Financial Services within two business days from receipt of this form.
- You can access your brokerage account by clicking on the Online Trading tab, when logging into your eVantage account. The link will take you directly to MyStreetscapesm to utilize online trading and view your account through National Financial Services' portal.

Important information regarding MyStreetscapesm:

- MyStreetscapesm only reflects assets carried in the brokerage portion of your Equity Trust Company account
- MyStreetscapesm is not compatible with Netscape or Mozilla Internet browsers
- Transactions made in your brokerage portfolio are not reflected in Client Access for three business days.
- Commissions are charged by Mid Ohio Securities on a per order basis. Commissions and other related brokerage charges are subject to change without notice.

4 SIGNATURE

PLEASE SIGN AND RETURN THE FORM VIA FAX TO (440) 366-3753 OR MAIL TO ADDRESS LISTED ABOVE.

✕ _____ Date _____
IRA Account Owner's Signature

MOSC approved for processing _____ (date)

Schedule of Commissions, Transaction and Handling Fees (effective 1/2/2010)

STOCKS		
	Online Trades	Broker Assisted Trades
Market orders up to 9,099 shares	\$29.95	\$55.00
All other Market Orders	\$29.95 + \$0.02 per share	\$55.00 + \$0.02 per share
Listed Limit Orders	\$29.95 + \$0.02 per share	\$55.00 + \$0.02 per share

OPTIONS		
	Online Trades	Broker Assisted Trades
Contracts less than \$1.00	1st contract \$29.95 + \$1.50 each additional contract	1st contract \$35.00 + \$2.00 each additional contract
Contracts greater than or equal to \$1.00	1st contract \$29.95 + \$2.00 each additional contract	1st contract \$35.00 + \$2.50 each additional contract

MUTUAL FUNDS		
	Online Trades	Broker Assisted Trades
All Fidelity Mutual Funds	\$0	\$0
All Non-Fidelity Mutual Funds	\$29.95	\$29.95
With CGM, DFA, Dodge&Cox, Fairholme, Longleaf Partners, Meridan, T.Rowe Price and Vanguard	\$39.95	\$39.95

For any mutual fund available for purchase through Mid Ohio Securities, PLEASE CAREFULLY review the fund's PROSPECTUS for any additional charges or expenses that the fund may charge prior to investing.

FIXED INCOME INVESTMENTS - (CAN ONLY BE PURCHASED THROUGH BROKER ASSISTANCE)	
	Broker Assisted Trades
Listed Corporate Bonds	(0-25 bonds) \$55.00 + \$5 per bond (26 or more) \$55.00 + \$5 per bond on 1st 25 and \$2 per bond thereafter
OTC Corporate Bonds	\$55.00
T-Bills, Notes and Bonds	\$55.00

PRECIOUS METALS
 Please contact a broker for details, availability and additional transactions fees

MISCELLANEOUS FEES			
• Postage and Handling	\$3.75 per trade		
All fees below are possible fees depending on your brokerage account activity. These fees are directly charged by National Financial Services and may not be reimbursed to your account. Fees are automatically deducted from your cash balance at the time of the transactions.			
• Annual Inactivity Fee	\$35.00	• Legal Returns	\$30.00 each
• Voluntary Reorganizations (i.e. tender offer)	\$25.00 per event	• Legend removal request, re-registrations for Gifting, etc. on all restricted securities not Intended for sale	\$300.00 each
• Mandatory Reorganizations (i.e. merger)	\$25.00 per event	• Worthless Security Processing Fee	\$5.00 each
• Legal Transfers	\$25.00 per issue		

PLEASE NOTE: Each confirmation you receive from trades executed in your brokerage account will instruct you to send in a personal check for fees if you want to pay separately and to make the check payable to National Financial Services, DO NOT DO THIS!

If you wish to pay for fees associated with trades executed in your account, you can make a CONTRIBUTION to your IRA account, and checks MUST be made payable to Equity Trust Company FBO your account. Checks made payable to NFS, will be returned to you.

PLEASE NOTE: *Certain Securities are not available through electronic trading. Access to your account information, trading and other services may be limited or unavailable during periods of peak demand, systems maintenance, or for other reasons. CONTACT YOUR BROKER for assistance at any of these times.*

MID OHIO SECURITIES

CELEBRATING OVER 35 YEARS OF OUTSTANDING CLIENT SERVICE - *Member FINRA*

225 Burns Road • P.O. BOX 1529 • ELYRIA, OHIO 44036
PHONE: (877) 403-0369 • FAX: (440) 366-3753 www.midoh.com

Mid Ohio Securities Privacy Statement

Our Commitment to You

At Mid Ohio Securities, protecting your privacy and the confidentiality of your personal information is important to us. We value your business and the trust you put in us, and to offer you the financial products and services you seek, we collect, maintain and use certain information about you. To help you better understand how your personal information is protected by Mid Ohio Securities, we are providing you with the following statement describing our policies and procedures with respect to the privacy of your customer information. In the event you terminate your customer relationship with us, or become an inactive customer, we will continue to adhere to the policies and procedures described in this notice. This notice applies only to nonpublic personal information about individuals who obtain financial products or services primarily for personal, family or household purposes.

Mid Ohio Securities Privacy Policy

Mid Ohio Securities restricts access to your personal and account information to those employees and affiliates who need to know such information to provide products, education materials, or services to you and we educate our employees about the importance of confidentiality and customer privacy. For example, Mid Ohio Securities may provide such information to its affiliate Equity Trust Company, which provides custodial services for self-directed IRA accounts. We maintain physical, electronic and procedural safeguards to guard your nonpublic personal information. We do not sell any of your personal or account information to any third party affiliates or non-affiliates and we will not do so, however we may provide such information to any successor custodian/trustee for your account. As such, we reserve the right to transfer such information in connection with a sale of our business, whether by sale of assets, or a merger, consolidation or other similar transaction, or a reorganization or liquidation of our business whether or not in connection with a filing for bankruptcy under applicable law.

Information We Collect About You

As your trusted financial institution, we collect, retain and use nonpublic personal information about individual current and former customers to provide products and services. We may collect the following categories of nonpublic personal information about you:

- Information we receive from you, through applications and forms in connection with our products or services; and
- Information about your transactions with us, our affiliates or with nonaffiliated third parties

You typically provide this personal information when you complete a Mid Ohio Securities account access form. This information may include, but is not limited to, your name, address, social security number, investment experience, relationship with broker/dealers, risk tolerance, financial references, investment objective, tax bracket, net worth, annual income and occupational/educational background.

Information We Share

Mid Ohio Securities does not disclose nonpublic personal information about you to any unaffiliated third parties, unless required by applicable law. For example, Mid Ohio Securities will provide your personal information in the following situations:

- Upon request by federal, state or local law enforcement agencies
- Upon request by the IRS for tax reporting purposes; and
- Upon request by other organizations and regulators that protect your privacy

However, since publicly-held securities transactions are effected through a correspondent clearing firm, we do provide certain account information (such as your name, social security number, address, date of birth, and telephone number; and under limited circumstances, net worth, annual income, tax bracket, investment objectives and risk tolerances) and transaction activity to our clearing firm to effect and administer your transaction requests. In addition, certain account information (such as your name, address, account activity and positions) is provided to an unaffiliated service provider with whom Mid Ohio Securities has contracted to print and mail account statements.

Your Privacy with Mid Ohio Securities Online

Mid Ohio Securities considers your online confidentiality and privacy to be as important as your written documentation. At Mid Ohio Securities we use a variety of protections to maintain security of your online sessions and communication. For example, we make use of firewall barriers, authentication procedures and data encryption of 128 Bit SSL. For more information on our online privacy policies, please visit our website at www.midoh.com.

Maintaining the Accuracy of Your Information

We will use our best efforts to maintain current and accurate information regarding your account. Please notify us, in writing, in the event that you need to update your account information. Upon receipt of such information, we will update our records accordingly.

How Mid Ohio Securities Will Inform You of Changes to Our Policies

As required by applicable federal law and regulation we will notify you of our privacy policy annually. Mid Ohio Securities reserves the right to modify its privacy policy and related procedures at any time, in accordance with such applicable federal and state laws. You will be informed and receive appropriate notice if any such changes are made.

We appreciate the opportunity to serve your financial needs. We pledge to follow the policies, safeguards and guidelines as described in this notice, and to protect the confidentiality of your information. Your relationship is very important to us, and we will take great care to honor these commitments to you. Thank you for choosing Mid Ohio Securities.