

# MID-OHIO SECURITIES BROKERAGE ACCESS FORM

## WHEN TO USE THIS FORM



- To establish a Brokerage account in your retirement account with Mid-Ohio Securities
- To request online access if you have an existing brokerage account without online access.

## 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 a member of your  
First Class Service Team at:

### TOLL FREE:

(877) 693-8208

### PHONE:

(440) 323-5491

## SUBMISSION OPTIONS



### BY FAX:

(440) 366-3753

### 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

ACCOUNT OWNER NAME	EQUITY TRUST ACCOUNT NUMBER
SOCIAL SECURITY NUMBER	DAYTIME PHONE NUMBER

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)

1. Are you employed by a Securities Firm?  No  Yes
2. Are you securities licensed?  No  Yes
3. If licensed, provide the name and contact information of your compliance officer:

COMPLIANCE OFFICER NAME	PHONE NUMBER		
FIRM NAME			
ADDRESS	CITY	STATE	ZIP CODE

### 3 ONLINE TRADING ACCESS INFORMATION

#### MyStreetscape<sup>sm</sup>

MyStreetscape<sup>sm</sup> is a comprehensive; internet based solution that gives you 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 MyStreetscape<sup>sm</sup> will be set up within three business days from receipt of this form. You will be notified via e-mail when your User ID and PIN are available.
- Online Trading cannot be utilized until 10 business days from the receipt of this form. You can view your account, and utilize the research tools during this time. If you need to place a trade during the 10 business day hold, please contact our trading desk.
- 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 MyStreetscape<sup>sm</sup> to utilize online trading and view your account.

#### Important information regarding MyStreetscape<sup>sm</sup>:

- MyStreetscape<sup>sm</sup> only reflects assets carried in the brokerage portion of your Equity Trust Company account
- MyStreetscape<sup>sm</sup> 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.**

**X**

Account Owner's Signature

Date

**Schedule of Commissions, Transaction and Handling Fees (effective 1/2/2007)**

<b>STOCKS</b>		
	<b>Online Trades</b>	<b>Broker Assisted Trades</b>
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

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

<b>MUTUAL FUNDS</b>		
	<b>Online Trades</b>	<b>Broker Assisted Trades</b>
All Fidelity Mutual Funds	\$0	\$0
All Non-Fidelity Mutual Funds	\$29.95	\$29.95

*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.*

<b>FIXED INCOME INVESTMENTS - (CAN ONLY BE PURCHASED THROUGH BROKER ASSISTANCE)</b>	
	<b>Broker Assisted Trades</b>
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**

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.

• Postage and Handling	\$3.75 per trade	• Mandatory Reorganizations (i.e. merger)	\$25.00 per event
• Transfer and ship certificate	\$40.00 each certificate	• Legal Transfers	\$25.00 per issue
• Returned check	\$25.00 each check	• Legal Returns	\$30.00 each
• Trade & Margin Extensions	\$15.00 each extension	• Legend removal request, re-registrations for Gifting, etc. on all restricted securities not Intended for sale	\$300.00 each
• Annual Inactivity Fee	\$35.00	• Worthless Security Processing Fee	\$5.00 each
• Voluntary Reorganizations (i.e. tender offer)	\$25.00 per event		

**PLEASE NOTE: Each confirmation you receive from a 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.