

**For FirstSouthwest and/or Broker/Dealers for which it clears transactions**

To: First Southwest Company  
Attention: New Accounts Department  
325 North St. Paul Street, Suite 800  
Dallas, TX 75201-3852

Account Title: \_\_\_\_\_

Account Number: \_\_\_\_\_

In consideration of First Southwest Company ("FSC") opening and/or maintaining one or more accounts for the trust named below ("Trust"), we, the undersigned (the "Trustee(s)"), certify as follow:

- The title of the Trust to which this certification applies: \_\_\_\_\_  
(Example: John Smith and Tom Brown Trustee(s) for the benefit of Ann Smith)
- The date of the Trust is: \_\_\_\_\_
- There are no other trustees of the trust other than the Trustee(s).
- FSC has the authority to accept orders and other instructions relative to the Trust accounts from any Trustee or other agent of the Trust, including those individuals or entities listed below. They may execute any documents on behalf of the Trust that FSC may require. (Unless it is specified otherwise, any one of those listed below may individually act on behalf of the Trust.)

\_\_\_\_\_  
Print Trustee or other agent of the Trust name

\_\_\_\_\_  
Print Trustee or other agent of the Trust name

\_\_\_\_\_  
Print Trustee or other agent of the Trust name

\_\_\_\_\_  
Print Trustee or other agent of the Trust name

- The Trustee(s) certify that they have the power under the Trust Agreement and applicable law to enter into transactions, both purchases and sales, of the type specified below. **Please check the appropriate box(es)**

- |   |   |  |   |
|---|---|--|---|
| <input type="checkbox"/> US Government Securities                     | <input type="checkbox"/> US Agency Securities | <input type="checkbox"/> Municipal Bonds           | <input type="checkbox"/> Corporate Bonds    |
| <input type="checkbox"/> Listed Stocks                                | <input type="checkbox"/> NASDAQ Stocks        | <input type="checkbox"/> OTC Bulletin Board Stocks | <input type="checkbox"/> Pink Sheet Stocks  |
| <input type="checkbox"/> Foreign Securities                           | <input type="checkbox"/> Margin Transactions  | <input type="checkbox"/> Partnership Interests     | <input type="checkbox"/> Private Placements |
| <input type="checkbox"/> Short Sales of Securities Other Than Options | <input type="checkbox"/> Other: _____         |  |   |

To engage in the purchase and sale of put and call options of the following nature. **Please check the appropriate box(es)**

- |   |  |   |  |
|---|--|---|--|
| <input type="checkbox"/> Covered Call Writing           | <input type="checkbox"/> Put Writing             | <input type="checkbox"/> Purchases to Hedge     | <input type="checkbox"/> Speculative Purchases |
| <input type="checkbox"/> Spreads/Straddles/Combinations | <input type="checkbox"/> Uncovered Index Writing | <input type="checkbox"/> Uncovered Call Writing |  |

- This certificate shall benefit FSC, FSC's successors and assigns, as well as, introducing firms for which FSC clears transactions. This certificate shall apply to all accounts of the Trust or in which the Trust has interest, whether previously opened, now opened or opened in the future, with FSC, FSC's predecessor firms or any introducing broker for which FSC clears transactions and all previous, current and future transactions in such accounts. All prior transactions in the accounts of the Trust are ratified in all respects.
- The Trustee(s) shall jointly and severally, indemnify FSC, FSC's predecessor firms and any introducing brokers for which FSC clears transactions and hold FSC and any introducing brokers for which FSC clears transactions harmless from any liability for effecting transactions of the types specified above.
- The Trustee(s) agree to inform FSC, in writing, of any amendment to the Trust, any change in the composition of the Trustee(s) or any other event that can alter the certifications made above.

Should only one Trustee execute this certificate, it shall be a representation that they are the sole Trustee. In such a case, where applicable, plural references in this certificate shall be deemed singular. It is further understood and agreed to that by accepting this certification FSC retains the right to request a copy(s) of the full Trust Agreement at the sole discretion of FSC.

By: \_\_\_\_\_  
Trustee Signature Date

\_\_\_\_\_  
Trustee Signature Date

\_\_\_\_\_  
Trustee Signature Date

\_\_\_\_\_  
Trustee Signature Date

**ALL TRUSTEE(S) MUST SIGN**

