

1910 Palomar Point Way • Suite 200 • Carlsbad, CA 92008 • 760.444.5254 / 1.800.477.7853 • www.sprottglobal.com

**793-** \_\_\_\_\_

**1. TYPE OF ACCOUNT:** (Check One)

- |  |  |   |
|--|--|---|
| <input type="checkbox"/> Individual                                | <input type="checkbox"/> Partnership                 | <input type="checkbox"/> Trust                        |
| <input type="checkbox"/> Joint Tenants with Rights of Survivorship | <input type="checkbox"/> Corp., # of Employees _____ | <input type="checkbox"/> Pension – PSP / MPP          |
| <input type="checkbox"/> Tenants in Common                         | <input type="checkbox"/> Sole Proprietorship         | <input type="checkbox"/> IRA Type: _____              |
| <input type="checkbox"/> Custodian – UTMA                          | <input type="checkbox"/> LLC, # of Employees _____   | <input type="checkbox"/> Other (Please Specify) _____ |

**2. PRIMARY ACCOUNT OWNER/TRUSTEE/UTMA BENEFICIARY/AUTHORIZED SIGNATORY:**

Title: \_\_\_\_\_ First Name: \_\_\_\_\_ M.I.: \_\_\_\_\_ Last Name: \_\_\_\_\_

Trust/Company Name (if applicable): \_\_\_\_\_ Date of Trust: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_ Country: \_\_\_\_\_

If mailing address is a P.O. Box, a physical address is also required: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_ Country: \_\_\_\_\_

Home Phone: \_\_\_\_\_ Work Phone: \_\_\_\_\_

Mobile: \_\_\_\_\_ Email Address: \_\_\_\_\_

Social Security Number: \_\_\_\_\_ Tax ID Number (if applicable): \_\_\_\_\_

Date of Birth: \_\_\_\_\_ Country(ies) of Citizenship: \_\_\_\_\_

Married:  Yes  No Number of Dependents: \_\_\_\_\_

Occupation: \_\_\_\_\_ Employer's Business Name: \_\_\_\_\_

Employer's Business Address \_\_\_\_\_

**NON-U.S. CITIZENS ONLY:**

Country of Birth \_\_\_\_\_ Citizenship at Birth \_\_\_\_\_

Date of Citizenship Change if Current Different From Birth \_\_\_\_\_ Previous US Citizen?  Yes  No, If "Yes", date renounced \_\_\_\_\_

**EMPLOYMENT/AFFILIATION INFORMATION:**

Is any applicant employed by or affiliated with a securities firm, a securities exchange or FINRA?  Yes  No

Is any applicant a "control person" or "affiliate" of a public company as defined by the SEC?  Yes  No

Is any applicant or member of immediate family or business associate a senior foreign political official?  Yes  No

If you have answered 'Yes' to any of the above, please specify: \_\_\_\_\_

**3. FINANCIAL INFORMATION FOR PRIMARY ACCOUNT OWNER:** (FOR JOINT ACCOUNTS – PLEASE COMBINE BOTH ACCOUNT OWNERS)

**Annual Income:** US\$ \_\_\_\_\_  Over \$300K **Liquid Assets:** US\$ \_\_\_\_\_  Over \$100K

**Net Worth** (Not Including Main Residence): US\$ \_\_\_\_\_  \$1Mil – \$2.1Mil  \$2.1Mil – \$5Mil  Over \$5Mil

Tax Bracket:  0% – 10%  11% – 15%  16% – 25%  26% – 28%  29% – 33%  34%+

Source of assets to be deposited to fund your account:  Salary  Savings  Other \_\_\_\_\_

Do you have investments held at another broker or Investment Adviser:  Yes  No

Investment Time Horizon – In which year do you estimate the need to begin withdrawing significant principal from this account? \_\_\_\_\_

Liquidity Needs – On an annual basis, how much do you expect to withdraw from this account? \$ \_\_\_\_\_

**Investment Experience.** Please detail the number of years of experience for each:

Stocks: \_\_\_\_\_ Yrs Penny Stocks: \_\_\_\_\_ Yrs Options: \_\_\_\_\_ Yrs Pvt. Place – Ltd Partnership: \_\_\_\_\_ Yrs  No Prior Experience

**4. I AFFIRM THAT THE ABOVE INFORMATION IS CORRECT**

Please initial here: **X** \_\_\_\_\_

**5. INVESTMENT OBJECTIVE:**

- Speculation – Investing in securities that are the highest risk but may offer the potential for extraordinary capital gains.
- Growth – Investing in shares of companies with a defined source of revenue and income.
- Income – Investing in debt or equity with histories of consistent dividends. Primary objective is yield.

**6. RISK TOLERANCE:**

- Maximum risk – I understand I could lose most or all of my investment and that the value of my investments may fluctuate significantly and frequently.
- High risk, including high volatility – I understand I could lose a substantial amount of my investment and that the value of my investments may fluctuate significantly and frequently.
- Moderate risk, including some volatility – I understand I could lose a portion of my investment.
- Low risk, including limited volatility – I understand I could lose a portion of my investment.

**793-** \_\_\_\_\_

**INTERNAL USE ONLY**

Date Opened: \_\_\_\_\_

CIP/OFAC/SDN Ckd By: \_\_\_\_\_

Prospect Source: \_\_\_\_\_

Existing Client

Account Executive \_\_\_\_\_ Date \_\_\_\_\_

Firm Principal \_\_\_\_\_ Date \_\_\_\_\_

Notes:

**7. CASH HELD IN ACCOUNT OPTIONS:**

Money Market – If not indicated, funds will be held in cash (no sweep).

- Cash – No Money Market       RBC Bank Deposit Program (Automatic Sweep)
- Government – only available for clients who are opening self-trusted (trustee-directed) qualified plan accounts

If I select an Automatic Sweep Investment option, I acknowledge that I am granting affirmative consent to have free credit balances in my Account included in the Cash Sweep program and have received (see last page for details), the general terms and conditions of the products available through the Cash Sweep program, and such products and terms and conditions may be changed from time to time by RBC CS.

**8. IF YOU WISH US TO SEND DUPLICATE STATEMENTS AND/OR CONFIRMS TO A THIRD PARTY PLEASE NOTIFY YOUR BROKER.** (There will be a fee for each confirmation and statement for each account of \$1.25)

**9. PLEASE COMPLETE IF YOU ARE THE : JOINT ACCOUNT OWNER/TRUSTEE/UTMA CUSTODIAN/AUTHORIZED SIGNATORY:**

Title: \_\_\_\_\_ First Name: \_\_\_\_\_ M.I.: \_\_\_\_\_ Last Name: \_\_\_\_\_

Mailing Address (If different from Primary): \_\_\_\_\_

If mailing address is a P.O. Box, a physical address is also required: \_\_\_\_\_

Home Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ Work Phone: \_\_\_\_\_

Mobile: \_\_\_\_\_ Email Address: \_\_\_\_\_

Social Security Number: \_\_\_\_\_ Date of Birth: \_\_\_\_\_ Married:  Yes  No Number of Dependents: \_\_\_\_\_

Country of Citizenship:  US  Other (Please specify): \_\_\_\_\_  Non Resident Alien

Occupation: \_\_\_\_\_ Employer's Business Name and Address: \_\_\_\_\_

**NON-U.S. CITIZENS ONLY:**

Country of Birth: \_\_\_\_\_ Citizenship at Birth: \_\_\_\_\_

If Different, Date of Citizenship Change: \_\_\_\_\_ Previous US Citizen?  Yes  No, If "Yes", date renounced: \_\_\_\_\_

**PREVIOUS INVESTMENT EXPERIENCE. PLEASE DETAIL THE NUMBER OF YEARS OF EXPERIENCE FOR EACH:**

Stocks: \_\_\_\_\_ Yrs. Penny Stocks: \_\_\_\_\_ Yrs. Options: \_\_\_\_\_ Yrs. Pvt. Place – Ltd Partnership: \_\_\_\_\_ Yrs.  No Prior Experience

**10. BY MY/OUR SIGNATURE(S) I/WE AFFIRM THAT THE ABOVE INFORMATION IS CORRECT AND THAT I/WE HAVE RECEIVED THE SEPARATE "PENNY STOCK DISCLOSURES STATEMENT" AND UNDERSTAND THE RISKS INVOLVED. I/WE HAVE RECEIVED, READ AND ACCEPT THE PRIVACY POLICY AND DISCLOSURES, AND HAVE RECEIVED, READ AND AGREE TO THE PREDISPUTE ARBITRATION CLAUSE IN PARAGRAPH 3 OF THE ARBITRATION AGREEMENT.**

(All persons named must sign here)

**X** \_\_\_\_\_  
Signature of Account Holder      Date

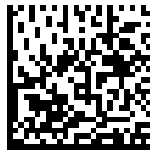
**X** \_\_\_\_\_  
Signature of Account Holder      Date

## **RBC Bank Deposit Program – FDIC Insured Cash Sweep Program**

The RBC Bank Deposit Program (BDP) sweeps cash in client accounts into interest-bearing accounts at multiple Federal Deposit Insurance Corporation (FDIC)-insured banks offering an aggregated total of \$2,500,000 in FDIC-insurance coverage (\$5 million for accounts held jointly by two or more persons).

### **Benefits of the RBC Bank Deposit Program:**

- This program is ideal for clients who wish to earn interest on their cash but who place a high priority on the safety of principal.
- The RBC Bank Deposit Program sweeps cash into interest-bearing accounts at FDIC-insured banks that RBC has thoroughly reviewed; only creditworthy banks participate in the program.
- You can maintain deposits in multiple banks with up to \$2,500,000 aggregate FDIC insurance coverage, and you have the ability to exclude certain banks from receiving your deposits.
- You don't have to manage relationships with multiple banks. RBC does it for you. In addition, RBC reports cash balance held at each bank, the interest rate and the Annual Percentage Yield Earned (APYE) on each client statement.



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

FA/Rep ID \_\_\_\_\_ Alternate Branch \_\_\_\_\_

**CUSTODIAL ROTH INDIVIDUAL RETIREMENT ACCOUNT ADOPTION AGREEMENT**

Date originally established: \_\_\_\_\_

**SECTION ONE: CLIENT INFORMATION**

Name and Address

SSN

Date of Birth

**SECTION TWO: TYPE OF CONTRIBUTION**

Select One:

- |  |   |
|--|---|
| <input type="checkbox"/> Roth IRA  | <input type="checkbox"/> Conversion from Traditional, SEP, or SIMPLE IRA or Employer-Sponsored Plan |
| <input type="checkbox"/> Rollover within 60 days from another Roth IRA (complete Rollover Certification)               | <input type="checkbox"/> Minor Roth IRA   |
| <input type="checkbox"/> Transfer from another Roth IRA  |   |
| <input type="checkbox"/> Direct rollover of Roth deferrals from a Roth 401(k)/403(b) (complete Rollover Certification) |   |

**SECTION THREE: BENEFICIARY DESIGNATION**

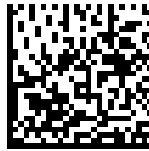
Relationship Definitions: S=Spouse N=Nonspouse E=Entity T=Trust (Mark one in the box provided.)

At each Beneficiary designation, indicate if such Beneficiary dies before you, how their portion should be paid:

**Pro Rata** – To the remaining primary Beneficiaries named on this form proportionate to their relative percentages (or if there are no remaining primary Beneficiaries, to the contingent Beneficiaries listed).**Per Stirpes** – Equally to such Beneficiary's descendants, who survive you, by right of representation.

Please note, if no selection is made the Pro Rata designator will apply.

Beneficiary Name and Address	<input type="checkbox"/> Primary	Relationship	SSN/EIN
	<input type="checkbox"/> Contingent	Date of Birth	%
	<input type="checkbox"/> Pro Rata <input type="checkbox"/> Per Stirpes		
Beneficiary Name and Address	<input type="checkbox"/> Primary	Relationship	SSN/EIN
	<input type="checkbox"/> Contingent	Date of Birth	%
	<input type="checkbox"/> Pro Rata <input type="checkbox"/> Per Stirpes		
Beneficiary Name and Address	<input type="checkbox"/> Primary	Relationship	SSN/EIN
	<input type="checkbox"/> Contingent	Date of Birth	%
	<input type="checkbox"/> Pro Rata <input type="checkbox"/> Per Stirpes		
Beneficiary Name and Address	<input type="checkbox"/> Primary	Relationship	SSN/EIN
	<input type="checkbox"/> Contingent	Date of Birth	%
	<input type="checkbox"/> Pro Rata <input type="checkbox"/> Per Stirpes		



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

FA/Rep ID \_\_\_\_\_ Alternate Branch \_\_\_\_\_

**CUSTODIAL ROTH INDIVIDUAL RETIREMENT ACCOUNT ADOPTION AGREEMENT****SECTION THREE: BENEFICIARY DESIGNATION CONTINUED**

Beneficiary Name and Address	<input type="checkbox"/> Primary	Relationship	SSN/EIN
	<input type="checkbox"/> Contingent	Date of Birth	%
	<input type="checkbox"/> Pro Rata <input type="checkbox"/> Per Stirpes		

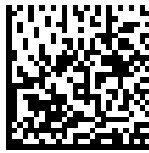
 **For additional Beneficiaries, see attached form.****SECTION FOUR: CONSENT OF SPOUSE**

Required for IRA, Roth, SEP, and SIMPLE retirement accounts where spouse is not 100% primary beneficiary and participant resides in community property state (i.e. AZ, CA, ID, LA, NM, NV, TX, WA or WI. Subject to change, please consult your state laws).

**Participant must complete if not married:** I certify at the time of signing, I am not married.**Spouse must complete and sign (with Notary) if participant is married:** I certify that I am the spouse of the above-mentioned participant and that I have read the above beneficiary designation and supplements hereto, if any. In the event of the death of my spouse I do hereby consent to the payment of my spouse's interest in this account to the above-named beneficiary and waive any such rights that I now have and/or may have in such interest.

Spouse Signature	Date	Print Name
Notary Signature	Date	Seal Here

**This document must accompany the Custodial ROTH IRA Agreement and Disclosure Statement.**



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

FA/Rep ID \_\_\_\_\_ Alternate Branch \_\_\_\_\_

**CUSTODIAL ROTH INDIVIDUAL RETIREMENT ACCOUNT ADOPTION AGREEMENT****SECTION FIVE: ADOPTION AGREEMENT**

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding 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) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. citizen or other U.S. person, and
4. The FATCA codes (if any) indicating that I am exempt from FATCA reporting is correct.

You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return.

By entering your name below, you signify that you have read, met, and agreed to all terms and conditions above.

**The IRS does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.**


You may cross out this entire Substitute W-9 Certification section if you are not a U.S. citizen or other U.S. person. In such case, an appropriate Form W-8 must be submitted.

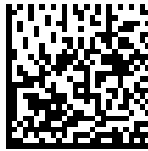
I certify that the above information is correct. I appoint RBC Capital Markets, LLC as Custodian in accordance with the terms and conditions of this Roth Individual Retirement Custodial Agreement and consent to the Custodian's fees in the fee schedule. The fees are subject to change upon notice to the Account Owner. I acknowledge receipt of a copy of the plan document under which this Roth Individual Retirement Account is established, a copy of this Adoption Agreement, and a copy of the Disclosure Statement with respect to this Roth Individual Retirement Account. I direct the Custodian to invest available uninvested cash balances of my account on a daily basis in a money market fund. I direct all benefits upon my death be paid as indicated above. In the event that this is a rollover contribution, I irrevocably elect, pursuant to the requirements of 1.402(a)(5)-IT of the IRS regulations, to treat this contribution as a rollover contribution. **THIS AGREEMENT CONTAINS A PREDISPUTE ARBITRATION CLAUSE AT ARTICLE 9 OF THE ROTH INDIVIDUAL RETIREMENT CUSTODIAL AGREEMENT AND PAGE 3 OF THIS ADOPTION AGREEMENT.**

Fees: Annual Maintenance: \$35 Closing/Termination: \$120

Client Signature	Date	Print Name

**If you have questions about your account, please contact your financial advisor.**

Accepted By 	Print Name Ann M. Senne
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Account Number \_\_\_\_\_

FA/Rep ID \_\_\_\_\_ Alternate Branch \_\_\_\_\_

## CUSTODIAL ROTH INDIVIDUAL RETIREMENT ACCOUNT ADOPTION AGREEMENT

### CLIENT FORM COMPLETION INSTRUCTIONS

1. Read carefully the accompanying Custodial Roth IRA Agreement and Disclosure Statement for Self-Directed Individual Retirement Account. (Capitalized terms in the Roth IRA Adoption Agreement have the same meanings as in the Roth Individual Retirement Account Agreement.)
2. Complete or correct Sections 1, 2, 3, 4 and 5, if applicable.
3. Complete additional forms if indicated by the box in Section 2.
4. Keep the client copy and the Roth IRA Agreement and Disclosure Statement for your records.
5. Return the original document in the envelope provided.

### BENEFICIARY DESIGNATION RULES OF INTERPRETATION

1. **Primary Beneficiaries.** Unless the Account Owner (“Owner”) otherwise specifies, the Account will be paid in equal shares to the primary Beneficiary or Beneficiaries who survive the Owner. If the Owner specifies percentage (or fractional) shares for the primary Beneficiaries and if some but not all such Beneficiaries fail to survive the Owner, the Account will be divided among the surviving primary Beneficiaries in proportion to the relative percentage (or fractional) shares of each, unless the owner has stipulated a Per Stirpes designation.
2. **Contingent Beneficiaries.** If no primary Beneficiary survives the Owner, the Account will be paid in equal shares (unless otherwise specified in the Beneficiary designation) to the contingent Beneficiary or Beneficiaries who survive the Owner, following the rule in paragraph (1) above.
3. **Death Before Full Distribution.** Unless the Owner has otherwise specified in the Beneficiary designation, the Beneficiary will become fixed as of the Owner’s death so that, if a Beneficiary survives the Owner but dies before the receipt of all amounts due such Beneficiary, the remaining amounts will be payable to the representative of the Beneficiary’s estate or to one or more Beneficiaries designated by such Beneficiary.
4. **Designation by Relationship Only.** Any designation of a Beneficiary only by statement of relationship to the Owner (or Beneficiary) will be effective only to designate the person or persons standing in such relationship at the Owner’s (or Beneficiary’s) death.

If no Beneficiary designation is in force at the time of the Owner’s death, the Beneficiary shall be the spouse of the Owner. If there is no living spouse, the Beneficiary shall be the Owner’s estate.

### AGREEMENT TO ARBITRATE CONTROVERSIES

This agreement contains a predispute arbitration clause. By signing an arbitration agreement the parties agree as follows:

- All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.
- Arbitration awards are generally final and binding; a party’s ability to have a court reverse or modify an arbitration award is very limited.
- The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.
- The arbitrators do not have to explain the reason(s) for their award unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the panel at least 20 days prior to the first scheduled hearing date.
- The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
- The rules of some arbitration forums may impose time limits for bringing a claim in arbitration in some cases, a claim that is ineligible for arbitration may be brought in court.
- The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

The Client agrees that any controversy arising out of or relating directly or indirectly to this Agreement, or any investment by the Client hereunder, or with respect to transactions of any kind executed by or with RBC Capital Markets, LLC (“RBC CM”), Member NYSE/FINRA/SIPC, any introducing broker for the Account (if applicable), or each of their respective officers, directors, agents, employees, or affiliate, or with respect to this Agreement or any other agreements entered in to with RBC CM or the introducing broker (if applicable) relating to the Accounts with RBC CM or the breach thereof, shall be settled by arbitration pursuant to the Federal Arbitration Act and in accordance with the rules, then in effect, of the Financial Industry Regulatory Authority. Notice preliminary to, in conjunction with or incident to arbitration, may be sent to the Client by mail and personal service is hereby waived. Judgment upon any award rendered by the arbitrators may be entered in any court having jurisdiction thereof.

No person shall bring a putative or certified class action to arbitration, nor seek to enforce any predispute arbitration against any person who has initiated in court a putative class action; or who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until: (i) the request for class certification is denied; (ii) the class is decertified; or (iii) the customer is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this Agreement except to the extent stated herein.



**ANTI-MONEY LAUNDERING** To help our country fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account. *What this means for you:* When you open an account, we will ask for your name, physical address, date of birth and other information that will allow us the ability to identify you. We may also ask for a copy of your driver's license, passport or other identifying documents.

**FINANCIAL INDUSTRY REGULATORY AUTHORITY (FINRA) PUBLIC DISCLOSURE INFORMATION** The FINRA Regulation Public Disclosure Program Hotline: 800-289-9999. FINRA Regulation Website: <http://www.finra.org>. You may review/order the investor brochure that includes information describing the Public Disclosure Program from their website or by calling 800-289-9999. You can look up a broker dealer or individual broker using FINRA's BrokerCheck® at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/index.htm>.

**SECURITIES INVESTOR PROTECTION CORPORATION (SIPC)** You may obtain information about the SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300, by going to the SIPC website at [www.sipc.org](http://www.sipc.org) or by email at [asksipc@sipc.org](mailto:asksipc@sipc.org).

**COMPLAINTS** Complaints regarding your account should be directed to: Chief Compliance Officer, Spratt Global Resource Investments Ltd., 1910 Palomar Point Suite 200, Carlsbad, CA 92008. Phone 800-477-7853 or 760-444-5254.

**RBC CORRESPONDENT SERVICES (RBC CS), a division of RBC Capital Markets, LLC, Member NYSE/FINRA/SIPC**  
In order to better service your financial needs our firm has engaged an independent member of the New York Stock Exchange and other major exchanges as our Clearing Agent. Accordingly, your account and all regulations governing it may fall within the control of both firms pursuant to a written agreement between the Clearing Agent and us. Under this agreement, the Clearing Agent will: provide cashiering services; monitor compliance of credit according to applicable rules, regulations and policies; prepare or provide information for transaction confirmations and periodic account statements; and provide for the dissemination of proxy, tender offer, and other similar shareholder's materials. In addition, the Clearing Agent may provide, upon our specific instructions, order execution and/or certificate clearance. However, the Clearing Agent will not be involved with or have responsibility for decisions regarding transactions in your account. While you continue to be a customer of our firm, the opening and approval of accounts and the entry of orders and instructions regarding the deposit or withdrawal of securities or money for your account must be handled by us. We will continue to be responsible for all activities in connection with your account and inquiries regarding your account should be directed to us. Information about our Clearing Agent is available upon request.

**SEC ORDER HANDLING DISCLOSURE - SEC Rule 606** As adopted in November 2000, SEC Rule 606 requires all broker dealers that route orders in equity and option securities to make available quarterly reports that present a general overview of their routing practices. As stated above, Spratt Global Resource Investments Ltd. (Spratt Global) is an introducing broker dealer. Transactions effected by Spratt Global are executed and settled through our Clearing Agent, RBC CS, a division of RBC Capital Markets Corp., and also through third party broker dealers. Being that RBC CS makes the routing decisions concerning the customer orders routed through them without regard to the identity of Spratt Global as its introducing broker dealer, Spratt Global feels that RBC CS is in the best position to prepare a quarterly report that reflects its routing practices on our behalf. You can review RBC CS' SEC Order Handling Disclosures at: <http://external.s3.com/rule606/rbcwm/>. For historical information, visit <http://www.tagaudit.com/do/display?page=Rule606::Report>.

**PROHIBITED ACCOUNTS** Pursuant to US regulations issued under Section 311 of the USA PATRIOT Act, 31 CFR 103.192, we prohibit customers from establishing, maintaining, administering or managing an account for, or on behalf of the financial institutions listed under this section: [http://www.fincen.gov/statutes\\_regs/patriot/section311.html](http://www.fincen.gov/statutes_regs/patriot/section311.html). The regulations also require us to notify you that your correspondent account with our firm may not be used to provide the financial institutions listed under Section 311 with access to our firm. If we become aware that these institutions are indirectly using the correspondent account you hold at our firm, we will be required to take appropriate steps to prevent such access, including terminating your account.

**BUSINESS CONTINUITY PLANNING** Spratt Global has developed a Business Continuity Plan (BCP) on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our plan.

**Contacting Us** If after a significant business disruption you cannot contact us as you usually do at 800-477-7853 or 760-444-5254, you should call our emergency number 773-209-4777, alternative fax 760-683-6578 or go to our website at [www.sprattglobal.com](http://www.sprattglobal.com).



**Our Business Continuity Plan** We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment protecting the firm's books and records, and allowing our customers to transact business. In short, our BCP is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our BCP addresses: data backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business. Our clearing firm, RBC Capital Markets, LLC, backs up our important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our clearing firm that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within the same business day. Your orders and requests for funds and securities could be delayed during this period.

**Varying Disruptions** Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within few hours. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and expect to recover and resume business within the same business day. In either situation, we plan to continue in business, transfer critical operations to our parent company Sprott Inc., as necessary, and provide information through our web site [www.sprottglobal.com](http://www.sprottglobal.com), including contract and critical transaction processing information. If the significant business disruption is so severe that it prevents us from returning to business within a reasonable period of time, or ever, we will take all necessary actions to assure our customer's prompt access to their funds and securities.

**ARBITRATION AGREEMENT** By entering into this Agreement, you agree that all controversies between Sprott Global or our principals or agents and you or your agents arising out of or concerning your accounts, orders or transactions, or the construction, performance, or breach of this or any other agreement between us, whether entered into before or after the date an account is opened shall be determined by arbitration before FINRA.

You also represent that you understand the terms of the arbitration clauses as follows:

- a. Arbitration is final and binding on the parties.
- b. The parties are waiving their right to seek remedies in court, including the right to jury trials, but not the right to counsel.
- c. Pre-arbitration discovery is generally more limited than and different from court proceedings.
- d. The arbitrators' award is not required to include factual findings or legal reasoning and the parties' right to appeal or seek modifications of rulings by the arbitrators is strictly limited.
- e. The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.

Notice preliminary to, in conjunction with, or incident to arbitration may be sent to you by mail, and personal service is waived. Judgment upon any award rendered by the arbitrators may be entered in any court of competent jurisdiction.

No person shall bring a putative or certified class action to arbitration, nor seek to enforce any pre-dispute arbitration agreement against any person who has initiated in court a putative class action, who is a member of a putative class, who has not opted out of the class with respect to any claims encompassed by the putative class action until the class certification is denied, the class is decertified, or the customer is excluded from the class by court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this Agreement except to the extent stated herein.

This Agreement shall be governed by the laws of the State of California, and shall inure to the benefit of Sprott Global's successors and assigns, and shall be binding on the undersigned, the undersigned's representatives, attorneys in-fact, heirs, executors, administrators, and assigns. The undersigned has read and accepted the terms of this Agreement.

\_\_\_\_\_  
Client Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Client Signature (Joint Account both must sign)

\_\_\_\_\_  
Date

If you have questions about any of this information, please contact us immediately.



## **New Clients**

**Industry regulations require that we obtain from each applicant a copy of a driver's license, state Identification card or passport. Please include this with the rest of your new account documents.**

**We recommend that you add our domain 'sproutglobal.com' to your safe senders list so emails from our firm do not get filtered as spam.**