

optionsXpress, Inc.
311 W. Monroe Street, Suite 1000
Chicago, IL 60606
Phone: 312-629-5455

Sole Proprietorship Certification*

*Completion of this form together with Non-Corporate Resolution is required to open a Sole Proprietorship account.

I, _____ (Sole Proprietor Name) hereby confirm and certify that I am engaged in business under the assumed name and style of the company, and at the location, listed below.

I also certify that I am the sole owner of said entity and the business so conducted, which is not operated as a corporation, limited liability company, partnership, or trust ("Sole Proprietorship"), and no other person, partnership, firm, or corporation has any right, title, or ownership interest therein. I certify that both I and my entity named below are considered a single entity for tax and liability purposes, and all securities, commodity futures and other property in the name of Sole Proprietorship belong to me and are owned solely by me.

Name of Company/Assumed Name

Tax ID#

Location of Sole Proprietorship

City/State/Zip Postal Code

If there is any change in ownership, title, or interest in this business, I will immediately advise optionsXpress, Inc. ("OX") in writing. I may not voluntarily assign any obligations hereunder without prior written consent from OX. If I assign my obligations as permitted hereunder, my obligations under the OX Terms and Conditions, and any other applicable agreements ("Agreements"), shall be binding upon my successors and assigns.

I understand all transactions conducted by me, as Sole Proprietor, are at my own risk, and that OX does not monitor the account for suitability or risk of any trade. Accordingly, I hereby ratify and confirm any and all transactions with OX made by me, or on my behalf, are for the above Sole Proprietorship Account, which transactions are consistent with my investment objectives and are my sole responsibility.

I hereby agree that I will personally be responsible for any debts that arise in my Sole Proprietorship Account. In the event that I also maintain an individual account with OX, I as sole owner of this entity, hereby authorize OX to accept checks drawn on or transfers from the above named entity for credit to my account, and satisfy any debits in such account with any balance in my individual account or Sole Proprietorship Account as the case may be.

I hereby agree to indemnify OX, its parent company, affiliates, successors, assigns, officers, directors, agents, and employees, and hold them free and harmless from, and to promptly pay OX upon demand for, any and all losses, liabilities, claims, damages, and costs (including reasonable attorneys fees) or financial obligations that may arise as a result of OX's reliance on the information provided in this document, and from acting upon instructions believed by OX to have originated with me (Sole Proprietor). This indemnity is in addition to, and no way limits or restricts any rights or responsibilities that have been made under any other agreement or agreements between me and OX.

Name: _____

Address: _____

Telephone Number: _____

Birth date: _____

optionsXpress, Inc. (Member SIPC) and Charles Schwab & Co., Inc. (Member SIPC) are separate but affiliated companies and subsidiaries of The Charles Schwab Corporation.