

Woodstock Wealth Management, Inc. - Customer Information Brochure

In consideration of acting as your Registered Investment Adviser, with respect to all accounts, options or securities, and either margin or cash, it is agreed as follows:

1. **VERIFICATION/RECORDING:** The account holder acknowledges that all information supplied by the account holder will be subject to verification. The account holder understands that the Investment Adviser/IAR (Investment Adviser Representative) may tape-record telephone conversations with customers in order to verify data concerning securities transactions and hereby consents to such recording.
2. **DISCLOSURE OF FINANCIAL INFORMATION:** The account holder understands in connection with this agreement an investigation may be made whereby information is obtained relative to the account holder's character and credit worthiness. The account holder has the right to make a written request within a reasonable period of time for a complete and accurate disclosure of additional information concerning the nature and scope of this investigation.
3. **AUTHORITY & OWNERSHIP:** Client has the requisite legal capacity, is authorized to enter into this agreement and has obtained all necessary authorizations from third parties, where necessary, to open accounts and effect securities transactions.
4. **APPLICABLE REGULATIONS:** All transactions under this agreement shall be subject to the rules, regulations, customs and usages of the exchange or market (and its custodian, if any) where executed and to all applicable Federal & State laws & regulations as currently existing and which, if modified shall supersede inconsistent provisions in the agreement.
5. **NOTIFICATION OF CHANGES:** In the event, information concerning the client changes, the client agrees to provide notification to the firm of such changes in a manner and method as prescribed by the firm at the time of such change. Such changes include any and all information contained on the Customer Account Application and Agreement, including, but not limited to, personal identifying information, address information, investment objectives information, financial information and employment information, etc.
6. **MAINTENANCE MARGIN REQUIREMENTS:** The account holder is aware that the broker dealer of record may impose margin requirements more stringent than those required by law or regulatory bodies. The account holder further acknowledges that such house requirements may be changed or modified by the broker dealer of record from time to time without prior notice to the account holder. The account holder hereby agrees to comply with said house requirements in addition to all legal and regulatory requirements governing account holder's account. The account holder further agrees that any waiver by the broker dealer of record or failure to promptly enforce, as to the account holder's account or that of others, such house requirements shall not stop or otherwise prevent the broker dealer of record from subsequently enforcing said requirements with regard to the account holder's account.

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7. **PRESUMPTION OF RECEIPT OF COMMUNICATIONS:** Communications are sent to the account holder at their current address of record from time to time, and all communications so sent, whether by mail, email or otherwise shall be deemed given to the account holder personally, whether actually received or not. Reports of the execution of orders and statements from the accounts of the account holder shall be conclusive if not objected to in writing immediately.
8. **EXTRAORDINARY EVENTS:** The Registered Investment Adviser shall not be liable for loss caused directly or indirectly by government restrictions, exchange or market rulings, suspended trading, war, strikes or other conditions beyond the Investment Adviser's control.
9. **JOINT AND SEVERAL LIABILITY:** If the account holder consists of more than one individual, the obligations under this Agreement shall be joint and several. Each such individual shall have authority acting alone to take action with respect to the account.
10. **MODIFICATIONS AND AMENDMENTS TO AGREEMENT:** Except as herein otherwise provided, no provision of this Agreement may be amended, modified or waived unless in writing, signed by a duly authorized officer of Woodstock Wealth Management, Inc.
11. **INDEMNIFICATION CLAUSE:** It is agreed that certification of account information by the account holder under the representation of the account holders' signature is binding confirmation of all relevant information's accuracy. Account holder agrees to defend, indemnify and hold harmless Woodstock Wealth Management, Inc. and its officers, employees, independent contractors, successors, heirs etc. against and in respect of any damages, losses, liabilities, obligations, costs, expenses, and claims of any kind that could result from our inability to supervise under SEC and any other applicable rules, regulations or guidelines as a result of the inaccuracy of information provided and confirmed by the account holder(s)'s signature. Woodstock Wealth Management, Inc. is relying on the account information being provided by the account holder in making decisions about the account. By signing below account holder represents that it agrees with and understands all the statements made in this Customer Information Brochure and any other documents and information provided by the account holder, and that such statements are true and correct. This indemnification nor any other provision of this Customer Information Brochure waives any legal right of the account holder.
12. **HEADINGS:** The heading of each provision hereof is for descriptive purposes only and shall not be deemed to modify or qualify any of the rights or obligations set forth in each such provision.
13. **SIGNATURE EXECUTION:** Account holder's signature(s) represents affirmation of your agreement to comply with any special instructions handed down by Woodstock Wealth Management, Inc. upon designated approval and acceptance of this account.

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I (we) have received, understand, agree with and reviewed the Customer Information Brochure and sign it of my (our) own free will. I (we) understand that if I (we) am (are) not comfortable with the trading activity in my (our) account or if I (we) cannot attest to any of the above statements I (we) will contact the compliance department of the home office at 800-279-4468 immediately. If my (our) investment objectives or financial needs change I (we) will inform my (our) Investment Adviser Representative/IAR or the compliance department in writing.

It is agreed that certification of account information by the account holder under the representation of the account holders' signature (s) is binding confirmation that all relevant account information is accurate. Account holder(s) agree to defend, indemnify and hold harmless Woodstock Wealth Management, Inc. and its officers, employees, independent contractors, successors, heirs etc. against and in respect of any damages, losses, liabilities, obligations, costs, expenses, and claims of any kind, that could result from our inability to supervise under SEC or any other applicable rules, regulations or guidelines as a result of the inaccuracy of information provided and confirmed by the account holder(s) signature. Woodstock Wealth Management, Inc. is relying on the account information being provided by the account holder(s) in making decisions about the account. This indemnification nor any other provision of this Customer Information Brochure waives any legal right of the account holder.

By signing this Customer Information Brochure, you agree that it supersedes all prior versions you may have signed and will apply to all accounts currently with us.

x _____
Applicant's Signature Date

Applicant's Printed Name

x _____
Co-Applicant's Signature Date

Co-Applicant's Printed Name

Account Number(s) (if applicable)