



**TAYLOR McKENZIE**  
 Izumi Garden Tower  
 1-6-1 Roppongi  
 Minato-ku  
 Tokyo 106-0032  
 Japan  
[www.taylormckenzie.net](http://www.taylormckenzie.net)

**ACCOUNT APPLICATION**

**The Information We Collect About You.** The non-public personal information we collect about you comes primarily from this account application or other forms you submit to us. We may also collect information about your transactions and experiences with us, our affiliates, or others relating to the products or services we provide.

**Our Disclosure Policies.** We do not disclose your information to anyone, except as permitted by law. All client information will be treated in strictest confidence. Your personal information will only be disclosed pursuant to your express consent, to fulfill your instructions, or to comply with applicable laws and regulations.

**Our Information Security Policies.** We limit access to your information to those of our employees and service providers who are involved in offering or administering the products or services that we offer. We maintain physical, electronic, and procedural safeguards that are designed to comply with international standards to guard your information.

If our relationship is terminated, we will continue to treat the information as stated herein.

Please enter your given Client Account Number

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Type of Account  Individual Account  Joint  Corporate

**PRIMARY ACCOUNT HOLDER**

Mr.  Mrs.  Miss  Others. Please specify \_\_\_\_\_

First Name \_\_\_\_\_ Middle Name (If any) \_\_\_\_\_ Last Name \_\_\_\_\_

**HOME ADDRESS**

Please check if this is your preferred primary address in all your Taylor McKenzie documentation.

Street Number and Name \_\_\_\_\_ Town/District \_\_\_\_\_

City \_\_\_\_\_ State or Region \_\_\_\_\_ Postal Code \_\_\_\_\_ Country \_\_\_\_\_

**COMPANY ADDRESS**

Please check if this is your preferred primary address in all your Taylor McKenzie documentation.

Company Name \_\_\_\_\_ Street Number and Name \_\_\_\_\_

Town/District \_\_\_\_\_ City \_\_\_\_\_ State or Region \_\_\_\_\_ Postal Code \_\_\_\_\_ Country \_\_\_\_\_

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**Contact Information**

Mobile Number \_\_\_\_\_ Home Number \_\_\_\_\_ Business Number \_\_\_\_\_

Fax Number \_\_\_\_\_ Email Address \_\_\_\_\_

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**Alternative Contact Information**

Mobile Number (2) \_\_\_\_\_ Home Number (2) \_\_\_\_\_ Business Number (2) \_\_\_\_\_

Fax Number (2) \_\_\_\_\_ Email Address (2) \_\_\_\_\_

**SECONDARY ACCOUNT HOLDER** (For Joint Accounts Only.)

Mr.       Mrs.       Miss       Others. Please specify \_\_\_\_\_  
First Name \_\_\_\_\_ Middle Name (If any) \_\_\_\_\_ Last Name \_\_\_\_\_

**Primary Address** (Please check appropriate box of your preferred address to be used in all Taylor McKenzie documentation.)

Home Address       Business Address (Please specify company \_\_\_\_\_)  
Street Number and Name \_\_\_\_\_ Town/District \_\_\_\_\_  
Town/District \_\_\_\_\_ City \_\_\_\_\_ State or Region \_\_\_\_\_ Postal Code \_\_\_\_\_ Country \_\_\_\_\_

**Contact Information**

Mobile Number \_\_\_\_\_ Home Number \_\_\_\_\_ Business Number \_\_\_\_\_  
Fax Number \_\_\_\_\_ Email Address \_\_\_\_\_

**Alternative Contact Information**

Mobile Number (2) \_\_\_\_\_ Home Number (2) \_\_\_\_\_ Business Number (2) \_\_\_\_\_  
Fax Number (2) \_\_\_\_\_ Email Address (2) \_\_\_\_\_

**PRIMARY ACCOUNT HOLDER**

**Personal and Professional Information**

(This information is required to abide by International Anti-Money Laundering Policy.)

Date of Birth \_\_\_\_\_ Place of Birth \_\_\_\_\_  
Nationality \_\_\_\_\_ Country of Citizenship \_\_\_\_\_  
Driver's License Number \_\_\_\_\_ Passport Number \_\_\_\_\_

**Marital Status**

Single       Married       Divorced       Separated       Widowed

**Employment Status**

Student       Self-Employed       Employed       Company Owner       Retired       Not Employed

Occupation \_\_\_\_\_ Company Name \_\_\_\_\_  
Company Address \_\_\_\_\_

Are you affiliated with or employed by a stock exchange or member firm of an exchange, FINRA, or a municipal securities broker-dealer?

Yes       No

Are you a director, 10% shareholder or policy-making officer of a publicly held company?       Yes       No

If Yes, please specify name of company \_\_\_\_\_

Current or former senior official of a foreign government or political party, or senior executive of a foreign government-owned commercial enterprise, or a family member of close associate of such person.

Yes       No

**PRIMARY ACCOUNT HOLDER**

**Financial and Investment Profile**

Currency preferred for the succeeding items:  USD \$  EUR €

Annual income from all sources (Exclude income from spouse of joint account holder.)

<input type="checkbox"/> Below 25,000	<input type="checkbox"/> 100,000 – 249,999	<input type="checkbox"/> 500,000 – 999,999
<input type="checkbox"/> 25,000 – 99,999	<input type="checkbox"/> 250,000 – 499,999	<input type="checkbox"/> 1,000,000 and above

Liquid net worth (Exclude the value of your residence and other non-liquid assets.)

<input type="checkbox"/> Below 25,000	<input type="checkbox"/> 100,000 – 249,999	<input type="checkbox"/> 500,000 – 999,999
<input type="checkbox"/> 25,000 – 99,999	<input type="checkbox"/> 250,000 – 499,999	<input type="checkbox"/> 1,000,000 and above

Total net value of all assets

<input type="checkbox"/> Below 25,000	<input type="checkbox"/> 100,000 – 249,999	<input type="checkbox"/> 500,000 – 999,999
<input type="checkbox"/> 25,000 – 99,999	<input type="checkbox"/> 250,000 – 499,999	<input type="checkbox"/> 1,000,000 and above

Primary source of income

<input type="checkbox"/> Salary	<input type="checkbox"/> Investment	<input type="checkbox"/> Retirement
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**PRIMARY ACCOUNT HOLDER**

**Investment / Trading Experience**

(Please check appropriate box.)

Years of experience in the following areas:	NONE	Less than 1 year	1 - 5 years	6 – 10 years	More than 10 years
STOCKS					
FUTURES					
OPTIONS					
COMMODITIES					
BONDS					
MUTUAL FUNDS					

Risk Tolerance	<input type="checkbox"/> Aggressive	<input type="checkbox"/> Moderate	<input type="checkbox"/> Conservative
Investment Target	<input type="checkbox"/> Speculation	<input type="checkbox"/> Growth	<input type="checkbox"/> Income
Other Brokerage Accounts	<input type="checkbox"/> None	<input type="checkbox"/> One	<input type="checkbox"/> More than one

Name of Broker / Dealer (s) where you have had Securities Accounts in the last 5 years: \_\_\_\_\_  
 \_\_\_\_\_

Name of FCM (s) where you have had Future Accounts in the last 5 years: \_\_\_\_\_  
 \_\_\_\_\_

## AGREEMENT

**ACCOUNT TYPES.** You understand that you are responsible for selecting the Account type (e.g. Individual, Joint or Corporate), that is appropriate for your investment criteria.

**ACCOUNT STATUS.** Taylor McKenzie agrees to accept and maintain for the undersigned Account Holder(s) one or more accounts and to act as broker dealer for Account Holder(s) in the execution and clearance of orders for transactions involving the purchase and sale of financial securities. Please refer to the online access guide to follow securities held in your account. The Account Holder(s) hereby confirms that all responses made in connection with the Account Agreement are complete and correct, and that Taylor McKenzie will be informed of any material change in such data, including financial information. Account Holder(s) warrants to Taylor McKenzie that if Account Holder is an individual or if this is a joint account, Account Holder is of legal age and of sound mind. Unless otherwise indicated in the Account Holder's Application, no one except the Account Holder(s) identified in the Account Application has an interest in the account(s). Account Holder(s) agrees to permit verification of relevant information by Taylor McKenzie through third parties (including credit reporting entities). In any event, this Account Holder's Agreement and the account(s) permitted hereunder become effective only upon acceptance by an authorized representative of Taylor McKenzie at its principal office.

**ACCURACY OF NEW ACCOUNT APPLICATION AND CREDIT INFORMATION.** The information that you have provided Taylor McKenzie is current, accurate, truthful and complete. No one except the person(s) listed on the Account Application (Form) has any interest in the Account being applied for.

**IDENTITY VERIFICATION FOR ANTI-MONEY LAUNDERING PURPOSES.** We are required by law to verify the identity of each account owner. Taylor McKenzie requires you to provide two forms of government issued identification upon submission of your Account Application form.

**APPROVAL OF TRANSACTIONS.** All transactions as agreed to with your account representative are deemed to be final. All transactions receive the approval of the compliance officer and consent of the Account Holder prior to being processed.

**RISKS.** You are aware that all investments involve risk. In particular, investments in speculative securities, and initial public offerings, may entail an increased risk of loss and may not be suitable to all investors. Investments can result in the loss of all capital invested. Additionally, the past performance of a security does not guarantee future results or returns. You understand that all orders entered by you are based upon your investment decisions and your sole responsibility, and you will not hold nor seek to hold any of our officers, directors, employees, agents, subsidiaries or affiliates, liable for any trading losses or other losses incurred by you.

**COMMISSIONS, FEES & OTHER COSTS.** Account Holder(s) agrees to commissions, fees and other costs charged by Taylor McKenzie. A commission of 1% on the buy and 1% commission on the sell. There are no fees on transferring assets out of the account. Furthermore, Taylor McKenzie is authorized to convert funds in Account Holder's account(s) into and from the relevant foreign currency at the rate of exchange plus appropriate fees, obtained from Taylor McKenzie.

**TAPE RECORDING.** You hereby authorize Taylor McKenzie to record telephone conversations between Account Holder(s) and Taylor McKenzie regardless of whether a periodic tone signal is used. You consent to the use of such tape recording in any forum in connection with resolving disputes.

**EXCHANGE RULES.** All transactions handled by Taylor McKenzie on the Account Holder's behalf shall be subject to the constitution, regulations, customs and interpretations of each exchange or market (and its clearing house, if any), on which the trades are executed, and to all applicable international governmental regulations. Taylor McKenzie shall not be liable to the Account Holder(s) as a result of any action taken by Taylor McKenzie to comply with such rules.

**PROCEEDS OF TRANSACTIONS.** No Proceeds from the sale of any shares through any transaction will be remitted to the Account Holder(s) if there is any outstanding debit balance within the account. Any shares liquidated or sold resulting in proceeds from the said sale of shares will be utilized to reduce or eliminate any outstanding margin balances a client's account may have.

**PURCHASES AND SALES.** To execute purchase orders, Taylor McKenzie generally require that your Account has available funds equal to or greater than the purchase price of the securities. To execute sell orders, Taylor McKenzie generally require that securities belong in the Account Holder's Account. Account Holder(s) agree that any purchase or sell order accepted (inadvertently or otherwise) by Taylor McKenzie without sufficient funds or negotiable securities, respectively, in your Account, will be subject to liquidation in the case of a purchase order, or buy in the case of a sell order, at the Account Holder's expense. In the event that full funds are not available in Account Holder's Account when a purchase order is executed, the Account Holder(s) promises to pay the full amount due via wire transfer on or before the settlement date for the purchase. In the event a sale order is executed and the securities sold are not in the Account Holder's Account, Account Holder(s) promises to deliver all securities sold, on or before settlement date. If such funds or securities are not received on or before the settlement date, Taylor McKenzie may liquidate Account Holder's Account and Account Holder(s) will be liable for any resulting losses and all associated costs that Taylor McKenzie incur.

**CONSENT TO JURISDICTION.** Account Holder(s) agree that all disputes claims, actions or proceedings arising directly, indirectly, or otherwise in connection with, out of, related to, or from, this Agreement shall be arbitrated only in an arbitration forum agreed with the ICFTC. Account Holder(s) consents and submits to the jurisdiction of any International Court.

**AMENDMENTS AND GUARANTEES.** This Agreement, reflects the entire agreement between Taylor McKenzie and Account Holder(s) and supersedes all prior oral and written agreements between the parties relating to the subject matter hereof and no provisions hereof shall in any respect be waived, augmented or modified by any other party unless in writing and signed by an official authorized at Taylor McKenzie office headquarters. No one (including FCM's, Associated Persons, introducing Brokers, Fund Managers, Commodity Trading Advisors or Pool Operators) can guarantee profits or the absence of losses. Account Holder(s) agrees to promptly notify Taylor McKenzie compliance department if any such guarantee is suggested.

ACCOUNTED HOLDER PRINTED NAME & SIGNATURE

**VERBAL AUTHORIZATION.** Taylor McKenzie may execute any transaction upon verbal authorization by the Account Holder(s) on any market (public or private) where such business is transacted. Account Holder(s) understands that Taylor McKenzie does not provide Account Holder(s) with direct access to the marketplace. Account Holder(s) understands, whether Account Holder(s) places an order, Account Holder(s) will receive the price at which the order is quoted to Account Holder(s). However, particularly during periods of high volume, liquidity, fast movement or volatility in the marketplace, or the placement of large orders, the execution price Account Holder(s) receives may differ from the quote published at the time of order entry, and Account Holder(s) may receive partial executions at different prices.

**REPORTS AND NOTICES.** Should inaccuracies or discrepancies appear on an Account Holder's statement of accounts, the Account Holder(s) agrees that it is the Account Holder's responsibility to inform, either by telephone, fax or email immediately upon receipt of the statement. All reports of inaccuracies must be made to Taylor McKenzie within 48 hours. If the Account Holder(s) does not respond immediately, executed orders and statement reports shall be considered, accurate; in doing this, Taylor McKenzie relieves itself of all responsibility. Account Holder(s) has the responsibility to maintain contact with Taylor McKenzie at all times that Account Holder(s) has market positions or has placed orders but is not available at Account Holder's regular address or telephone number to receive reports. Details of trades and any other similar information or notices sent to Account Holder(s) shall be conclusive and binding unless Account Holder(s) notifies Taylor McKenzie to the contrary, where a report or notice is sent electronically, by facsimile, by email or made verbally.

**DEBIT BALANCES.** All monies, securities, negotiable instruments, open positions in contracts, options premiums, commodities or other property now or at any future time on deposit or in safekeeping with Taylor McKenzie, shall constitute security for Account Holder's obligations hereunder and Account Holder(s) grants Taylor McKenzie the right to sell or use such security to offset and credit any of those obligations not promptly paid. Account Holder(s) understands that Account Holder is liable to Taylor McKenzie for any deficit ("debit") balance in the account(s) remaining after any such offset. If Account Holder(s) does not promptly pay a debit in Account Holder's account(s) and Taylor McKenzie deems it necessary to take collection action, Account Holder(s) will hold Taylor McKenzie harmless for all losses and expenses and will be accountable or liable to Taylor McKenzie for the debit and all costs incurred, including reasonable attorney's fees in connection with such collection actions.

**SIGNED DOCUMENTATION.** Taylor McKenzie requires that all Account Holders have an original Account Holder's agreement with original signatures on file with the Accounts Department. However, at the sole discretion of Taylor McKenzie, documents signed and transmitted by facsimile machine, telecopy and email may be accepted as original documents. The signature of any person or entity thereon, is to be considered as an original signature, and the documents transmitted is to be considered as an original signature, and the document transmitted is to be considered to have the same.

**MARGIN.** The Account Holder(s) acknowledges that he/she is borrowing money from the value of the securities that are held within his/her account and that Account Holder(s) understands the requirements and risks associated with margin.

*This brief statement does not disclose all of the risks and other significant aspects of trading stocks. In light of the risks, you should undertake such transactions only if you understand the nature of the contracts (and contractual relationships) into which you are entering and the extent of your exposure to risk. Trading in stocks is not suitable for many members of the public. You should carefully consider whether trading is appropriate for you in light of your experience, objectives, financial resources and other relevant circumstances.*

**I Hereby Acknowledge That I Have Read and Understand This Agreement Statement.**

*By signing this Account Registration, I acknowledge that I have received and read a copy of the attached Account Agreement. I acknowledge that this Account and my relationship with Taylor McKenzie will be governed by the Account Agreement and all incorporated agreements and disclosures, including but not limited to the Account Agreement. I understand fees are associated with buying and selling and transferring assets out of this Account. I also acknowledge that if I trade "on" margin, I am borrowing money from the value of the securities that are held within my account and that I understand the requirements and risks associated with margin.*

*I also acknowledge that Taylor McKenzie is relying on this information in approving my account and extending my credit and that all such information is true and correct.*

PRIMARY ACCOUNT HOLDER  
PRINTED NAME & SIGNATURE

SECONDARY ACCOUNT HOLDER  
(For Joint Accounts Only)  
PRINTED NAME & SIGNATURE



For the use of Taylor McKenzie Accounts Department only.

Verified by:

Date:

\_\_\_\_\_  
Compliance Officer  
Accounts Department  
Taylor McKenzie