



# Japan Commodities Trading

## Personal Information

Full Name:

Title:

Status:

Date of Birth:

Street Address:

City:

Code:

ry:

Mailing Address: (if different)

Mobile Number:

Direct Line:

Home Number:

Number:

Email:

## Joint Applicant - Personal Information

Full Name:

Title:

Status:

Date of Birth:

Street Address:

City:

Code:

ry:

Mailing Address: (if different)

Mobile Number:

Direct Line:

Home Number:

Number:

Email:

### Account Applicant Personal Information

Do you have brokerage accounts with other brokers/dealers? If yes, please state name.

Yes       No

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Are you a director, 10% shareholder, or policy-making officer of any publicly traded company? If yes, please specify.

Yes       No

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Are you or a member of your household currently affiliated or employed by a broker/dealer? If yes, please state name.

Yes       No

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Are you currently registered with the Securities Exchange Commission (SEC)? If yes, please state capacity.

Yes       No

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Are you currently registered with any exchange of self-regulatory body? If yes, please state which.

Yes       No

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Are you currently an employee of a bank, trust company or insurance company? If yes, please state name.

Yes       No

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Are you a foreign broker/dealer, bank, trust company or insurance company? If yes, please state which.

Yes       No

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Are you a US Tax paying Citizen?

Yes       No

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### Account Applicant Financial Profile (Part 4)

#### Approximate Annual Income

\$20,000 - \$34,999       \$35,000 - \$49,999  
 \$50,000 - \$99,999       \$100,000 - \$249,999  
 > \$250,000

#### Tax Status

15%       28%       31%  
 36%       39%       50%

#### Approximate Net Worth

< \$15,000       \$15,000 - \$50,000  
 \$50,000 - \$100,000       \$100,000 - \$500,000  
 \$500,000 - \$1 Million       > \$1 Million

#### Liquid Net Worth

< \$15,000       \$15,000 - \$50,000  
 \$50,000 - \$100,000       \$100,000 - \$500,000  
 \$500,000 - \$1 Million       > \$1 Million

## Account Applicant Profile

### How would you describe your investment experience?

- |                                      |  |  |
|--------------------------------------|--|--|
| <input type="checkbox"/> Limited     | <input type="checkbox"/> Basic Knowledge | <input type="checkbox"/> Knowledgeable |
| <input type="checkbox"/> Experienced | <input type="checkbox"/> Extensive       | <input type="checkbox"/> Professional  |

### What are your objectives (select any two)

- |   |   |  |
|---|---|--|
| <input type="checkbox"/> Short Term Growth    | <input type="checkbox"/> Mid Term Growth  | <input type="checkbox"/> Long Term Growth      |
| <input type="checkbox"/> Capital Appreciation | <input type="checkbox"/> Quarterly Income | <input type="checkbox"/> Appreciation & Income |

### Which best describes your Investment style?

- |                                       |                                     |                                   |
|---------------------------------------|-------------------------------------|-----------------------------------|
| <input type="checkbox"/> Conservative | <input type="checkbox"/> Aggressive | <input type="checkbox"/> Cautious |
|---------------------------------------|-------------------------------------|-----------------------------------|

### Which type of account are you applying for?

- |   |                                   |  |
|---|-----------------------------------|--|
| <input type="checkbox"/> Execution only | <input type="checkbox"/> Advisory | <input type="checkbox"/> Fully Managed |
|---|-----------------------------------|--|

### Approximately how much will you be funding your new account for?

Amount \_\_\_\_\_ Currency \_\_\_\_\_

## Account Agreement

The undersigned agree(s) that all controversies, which may arise between us, including but not limited to those involving any transactions or the construction, performance or breach of this or any other agreement between us, whether entered into prior, on or subsequent to the date hereof, shall be determined by arbitration. Any arbitration under this agreement shall be conducted before arbitration facilities provided by any exchange or the National Association of Securities Dealers Inc. The undersigned may elect in the first instance the arbitration forum, but if the undersigned fails to make such an election by registered letter or telegram addressed to Preferred at the office where the customer maintains their account(s), before the expirations of five (5) days after receipt of a written request from Preferred to make such election, then Preferred may make such election. Judgment upon the award of arbitrators may be entered in any court, state or federal, having jurisdiction. No person shall bring a (punitive) 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; or who is a member of a putative class action who has not opted out of the class with respect to any claims encompassed by the putative class action until: (i) the class certification is denied; or (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.

I hereby request that Japan Commodities Trading open a brokerage account in the name(s) listed as account applicant on this customer New Account application Form. I agree to read and be bound by the terms of the Account Agreement, and any other written agreements between Term Commodities and myself that apply to my brokerage account, as currently in effect and as amended from time to time. If, in the future, I add features to this account governed by the foregoing agreements I agree to be bound by their terms and conditions. If I do not receive or understand the Account agreement, I will notify Personnel.

Applicant's Printed Full Name:

Joint Applicant's Printed Full Name:

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Applicant's Signature:

Joint Applicant's Signature:

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Date:

Date:

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