



Republic Plaza, 9 Raffles Place, 048619, Singapore.

Telephone: **+65 3158 7341**

contact@gotshal-rhoades.com | www.gotshal-rhoades.com

GOTSHAL RHOADES ACCOUNT APPLICATION FORM

Type of Account (please tick relevant account box):

Individual:

Joint:

Company:

INSTRUCTION IN COMPLETING THIS DOCUMENTATION

Please make sure that you read and understand all the information regarding opening a trading account with Gotshal Rhoades before completing the form, including the General Terms & Conditions. Please use a black or a blue ink pen when completing all the information as accurately as possible.

Primary Account Holder

First Name/s:		Surname/Family Name:	
Company Name (if applicable):			
Address:		Date of Birth:	Marital Status:
		Place of Birth:	Number of Dependents:
Postal Code:		Nationality:	Employer (Self-employed):
City:	Country:	Occupation:	
Business Phone Number:		Home Phone Number:	
Mobile Phone Number:		Fax Number:	
E-mail Address (Business):		E-mail Address (Personal):	
Name of Primary Bank		Address of Primary Bank:	

Joint Account Holder (where applicable)

First Name/s:		Surname/Family Name:	
Address:		Date of Birth:	Marital Status:
		Place of Birth:	Number of Dependents:
Postal Code:		Nationality:	Employer (Self-employed):
City:	Country:	Occupation:	
Business Phone Number:		Home Phone Number:	
Mobile Phone Number:		Fax Number:	
E-mail Address (Business):		E-mail Address (Personal):	

Please return the completed documentation directly to Gotshal Rhoades via E-mail attachment to:

E-mail: : accounts@gotshal-rhoades.com



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REASON AND RANGE OF CLIENT ASSOCIATION

(Please complete all fields)

To comply with 'Financial Action Task Force' (FATF) and 'European Union' regulations, all financial brokerage institutions are required to obtain information pertaining to the reason and range of a client relationship.

What is your reason/purpose in applying for a trading account at GOTSHAL RHOADES?

Select applicable one only.

- Capital Preservation / Hedging (considered conservative with less risk)
- Growth & Income (considered moderate in risk)
- Speculation (considered aggressive in risk for potentially higher returns)

Which type of trading instruments would interest you?

Select all relevant areas.

- Futures Managed Funds
- Commodities FOREX Spot
- Stocks FOREX Forward
- Bonds FOREX Options
- Contract Options Other

How many trades do you make on a yearly basis?

Select applicable one only.

- 0 (Never traded) 25 to 50
- 1 to 5 50 to 75
- 5 to 10 75 to 100
- 10 to 25 More than 100

What is your Annual Income (US\$)?

Select applicable one only.

- \$25,000 - \$50,000 \$250,000 - \$500,000
- \$50,000 - \$100,000 \$500,000 - \$1,000,000
- \$100,000 - \$250,000 Over \$1,000,000

What is your Liquid Net Worth (US\$)?

Select applicable one only.

- \$25,000 - \$50,000 \$250,000 - \$500,000
- \$50,000 - \$100,000 \$500,000 - \$1,000,000
- \$100,000 - \$250,000 Over \$1,000,000

Occupation (all within the last 12 months) – To be completed by the Primary Account Holder only.

Select all relevant areas.

- Private sector/company/Executive Management/Board Self Employed
- Public sector/state, Executive Management/Board ⁽ⁱ⁾ Retired
- Political or Public Office ⁽ⁱⁱ⁾ Student
- Public Sector/State Company, Other Unemployed
- Private Company

⁽ⁱ⁾ Public sector or state, Executive Management/Board includes:

Members of the administrative, management or supervisory bodies of any State owned enterprise.

⁽ⁱⁱ⁾ Political or Public Office includes:

Heads of State and Government Ministers and Deputy Assistant Ministers, Members of Parliament, Member of Supreme or Constitutional courts or similar members of Courts of Auditors or of the Board of Central Bank, Ambassadors, Consul General, Chargé d'affaires and High-Ranking officers within the armed forces.



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GOTSHAL RHOADES – Client Agreement

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKETS

This document contains important information on trading in Equities. All prospective clients should read this document before trading on Capital Markets.

We neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have We endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the contractual relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that investment in Equity shares have varying element of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and/or low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade with Us and suffer adverse consequences or loss, you shall be solely responsible for the same and We shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned member. The Client shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a security.

It must be clearly understood by you that your dealings with Us shall be subject to your fulfilling certain formalities set out by Us, which may inter alia include your filling the know your client form, client registration form, execution of an agreement, etc., as are in force from time to time.

We do not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with Us and/or sub-broker of Ours and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice/investment advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:

1. BASIC RISKS INVOLVED IN TRADING

1.1 Risk of Higher Volatility: Volatility refers to the dynamic changes in price that securities undergo when trading activity continues whether listed or unlisted. Generally, higher the volatility of a security, the greater is its price swings. There may be normally greater volatility in thinly traded securities than in active securities. As a result of volatility, your price at which your order is executed may substantially change thereafter, resulting in notional or real losses.

1.2 Risk of Lower Liquidity: Liquidity refers to the ability of market participants to buy and/or sell securities expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities, and as a result, investors are more likely to pay or receive a competitive price for securities purchased or sold. There may be a risk of lower liquidity in some securities as compared to active securities. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

1.3 Risk of News Announcements: Issuers and blogs make announcements that may impact the price of the securities. These announcements may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security.

1.4 Risk of Rumors: Rumors about companies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.

1.5 System Risk: High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

1.5.1 During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

1.5.2 Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security due to any action on account of unusual trading activity or for any other reason.

2. GENERAL

2.1 Commissions: A handling fee of 1% (one percent) will be levied on any transaction that We make on Your behalf. This fee of 1% is applicable to either the sale of, or the purchase of Securities.

2.2 Currencies: US Dollars will be used for all trade transactions unless otherwise agreed and set forth in the confirmation order.

2.3 Applicable Law: To the maximum extent permitted by Applicable Law, this Agreement shall be governed by and construed in accordance with all relevant Rules and Regulations, and Customs of the Exchange or Market wherever executed.

2.4 Force Majeure: We shall not be liable for loss caused directly or indirectly by any exchange or market ruling, government restriction, or any "force majeure" (e.g., flood, extraordinary weather conditions, earthquake or other act of God, fire, war, insurrection, riot, communications or power failure, equipment or software malfunction) or any other cause beyond the reasonable control of Us.

2.5 Change to Terms and Conditions: Upon notice to You, We may add, delete or otherwise modify any portion of this Agreement, in whole or in part at any time. Your continued use of the Services ten (10) days after receipt of such notice shall represent Your acceptance of such terms.

2.6 Termination: You may close Your account at Your discretion after all Debit Balances are paid, by sending Us written notice at any time. The Terms and Conditions of this Agreement will survive termination of Your Account and will continue to apply to any disputed or other remaining matters involving Your relationship with Us. We may terminate this Agreement for any reason, effective immediately, by notifying You. Any outstanding balances due to You will be paid to You as instructed by You.

SIGNATURE/S By signing and dating this document, I/We state that all the information herein is true and correct and that I will contact GOTSHAL RHOADES in reasonable time if any changes occur. GOTSHAL RHOADES reserves the right to verify the accuracy of the information provided but has no duty to do so, and to contact those deemed necessary in any verification process.

Signature/s

Signature of Primary Account Holder

Date

Signature of Joint Account Holder (where applicable)

Date