



# Carlton Church

## Account Application Form

### Head Office

Toranomon Hills  
23 Toranomon 1 Cho-me  
Minatoku, Tokyo, Japan

### Branch Office

Tower 25 Stasinou  
Nicosia, Cyprus

Tel No: +81 363 880373  
Tel No: +35 722 000827  
info@carltonchurch.com

[www.carltonchurch.com](http://www.carltonchurch.com)

**TYPE OF ACCOUNT**

Individual       Joint       Corporate

**PERSONAL INFORMATION (Primary)**

First Name \_\_\_\_\_

Middle Name (If there is any) \_\_\_\_\_

Surname \_\_\_\_\_

Residence/Home Address (No P.O. Boxes allowed) (Street Name and No.)  
City \_\_\_\_\_ (Postal Code) \_\_\_\_\_

Country \_\_\_\_\_

**Preferred Mailing Address** (if different from above) (Street Name and No.)  
City \_\_\_\_\_ (Postal Code) \_\_\_\_\_

Country \_\_\_\_\_

**Contact Information**

Mobile No \_\_\_\_\_

Business No \_\_\_\_\_

Alternative No \_\_\_\_\_

Email Address \_\_\_\_\_

**Required under our Anti-Money Laundering Policy**

Passport No \_\_\_\_\_

Driver's License No \_\_\_\_\_

Date of Birth \_\_\_\_\_

Place of Birth \_\_\_\_\_

Nationality \_\_\_\_\_

**Marital Status**

Single       Married       Divorced       Widowed

CountryAre you known by any other name? If so, please specify.  
\_\_\_\_\_

Countries of Citizenship (MUST LIST ALL)  
\_\_\_\_\_

**PERSONAL INFORMATION (Secondary - For Joint Accounts)**

First Name \_\_\_\_\_

Middle Name (If there is any) \_\_\_\_\_

Surname \_\_\_\_\_

Residence/Home Address (No P.O. Boxes allowed) (Street Name and No.)  
City \_\_\_\_\_ (Postal Code) \_\_\_\_\_

Country \_\_\_\_\_

**Preferred Mailing Address** (if different from above) (Street Name and No.)  
City \_\_\_\_\_ (Postal Code) \_\_\_\_\_

Country \_\_\_\_\_

**Contact Information**

Mobile No \_\_\_\_\_

Business No \_\_\_\_\_

Alternative No \_\_\_\_\_

Email Address \_\_\_\_\_

**Required under our Anti-Money Laundering Policy**

Passport No \_\_\_\_\_

Driver's License No \_\_\_\_\_

Date of Birth \_\_\_\_\_

Place of Birth \_\_\_\_\_

Nationality \_\_\_\_\_

**Marital Status**

Single       Married       Divorced       Widowed

CountryAre you known by any other name? If so, please specify.  
\_\_\_\_\_

Countries of Citizenship (MUST LIST ALL)  
\_\_\_\_\_



**PERSONAL INFORMATION (Primary)**

I am  I am not

A 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 or close associate of such person.

**PERSONAL INFORMATION (Secondary - For Joint Accounts)**

I am  I am not

A 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 or close associate of such person.

**Please include a photocopy (enlarged if possible) of your passport, driver's license or other government issued document bearing a photograph when returning this application to Carlton Church.**

**FINANCIAL INFORMATION (Primary)**

**Annual Income from All Sources in EUROS:** Exclude income from spouse or joint account holder:

- |   |  |
|---|--|
| <input type="checkbox"/> Below €25,000      | <input type="checkbox"/> €150,000 - €349,999 |
| <input type="checkbox"/> €25,000 - €74,999  | <input type="checkbox"/> €350,000 - €599,999 |
| <input type="checkbox"/> €75,000 - €149,999 | <input type="checkbox"/> €600,000 +          |

**Liquid Net Worth in EUROS:** Exclude the value of your residence and other non-liquid assets:

- |   |  |
|---|--|
| <input type="checkbox"/> Below €25,000      | <input type="checkbox"/> €150,000 - €349,999 |
| <input type="checkbox"/> €25,000 - €74,999  | <input type="checkbox"/> €350,000 - €599,999 |
| <input type="checkbox"/> €75,000 - €149,999 | <input type="checkbox"/> €600,000 +          |

**Total Net Value of All Assets in EUROS:** Total assets minus total liabilities:

- |   |  |
|---|--|
| <input type="checkbox"/> Below €25,000      | <input type="checkbox"/> €150,000 - €349,999 |
| <input type="checkbox"/> €25,000 - €74,999  | <input type="checkbox"/> €350,000 - €599,999 |
| <input type="checkbox"/> €75,000 - €149,999 | <input type="checkbox"/> €600,000 +          |

**Primary Income:**

- Salary  Investment  Retirement

**Investment Knowledge:**

- None  Good  Limited  Extensive

**Risk Tolerance:**

- Aggressive  Moderate  Conservative

**Investment Target:**

- Income  Growth  Speculation

**Investment Experience:**

- None  Limited  Good

**Other Brokerage Accounts:**

- None  One  More than One

**FINANCIAL INFORMATION (Secondary - For Joint Accounts)**

**Annual Income from All Sources in EUROS:** Exclude income from spouse or joint account holder:

- |   |  |
|---|--|
| <input type="checkbox"/> Below €25,000      | <input type="checkbox"/> €150,000 - €349,999 |
| <input type="checkbox"/> €25,000 - €74,999  | <input type="checkbox"/> €350,000 - €599,999 |
| <input type="checkbox"/> €75,000 - €149,999 | <input type="checkbox"/> €600,000 +          |

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- |   |  |
|---|--|
| <input type="checkbox"/> Below €25,000      | <input type="checkbox"/> €150,000 - €349,999 |
| <input type="checkbox"/> €25,000 - €74,999  | <input type="checkbox"/> €350,000 - €599,999 |
| <input type="checkbox"/> €75,000 - €149,999 | <input type="checkbox"/> €600,000 +          |

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| <input type="checkbox"/> €75,000 - €149,999 | <input type="checkbox"/> €600,000 +          |

**Primary Income:**

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**Investment Knowledge:**

- None  Good  Limited  Extensive

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**Investment Target:**

- Income  Growth  Speculation

**Investment Experience:**

- None  Limited  Good

**Other Brokerage Accounts:**

- None  One  More than One



**PROFESSIONAL INFORMATION (Primary)**

Securities industry regulations require that we collect the following information.

**Check only one:**

- |  |                                       |
|--|---------------------------------------|
| <input type="checkbox"/> Employed      | <input type="checkbox"/> Student      |
| <input type="checkbox"/> Self Employed | <input type="checkbox"/> Home Maker   |
| <input type="checkbox"/> Retired       | <input type="checkbox"/> Not Employed |

Occupation \_\_\_\_\_

Company Name \_\_\_\_\_

Business Address \_\_\_\_\_

Are you affiliated with or employed by a stock exchange or member firm of an exchange or 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, enter name of company: \_\_\_\_\_

**PROFESSIONAL INFORMATION (Secondary -For Joint Accounts)**

Securities industry regulations require that we collect the following information.

**Check only one:**

- |  |                                       |
|--|---------------------------------------|
| <input type="checkbox"/> Employed      | <input type="checkbox"/> Student      |
| <input type="checkbox"/> Selp Employed | <input type="checkbox"/> Home Makeer  |
| <input type="checkbox"/> Retired       | <input type="checkbox"/> Not Employed |

Occupation \_\_\_\_\_

Company Name \_\_\_\_\_

Business Address \_\_\_\_\_

Are you affiliated with or employed by a stock exchange or member firm of an exchange or 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, enter name of company: \_\_\_\_\_

**ACCOUNT HOLDER ACKNOWLEDGEMENT**

*Please affix signature accordingly.*

**ACCOUNT HOLDER ACKNOWLEDGEMENT (Primary)**

You acknowledge thatCarltonChurchis relying on this information in approving your account and extending you credit and that all such information are true and correct.

X \_\_\_\_\_

**ACCOUNT HOLDER PRINTED NAME & SIGNATURE**  
(Please affix signature)

**ACCOUNT HOLDER ACKNOWLEDGEMENT (Secondary - For Joint Accounts)**

You acknowledge thatCarltonChurchis relying on this information in approving your account and extending you credit and that all such information are true and correct.

X \_\_\_\_\_

**ACCOUNT HOLDER PRINTED NAME & SIGNATURE**  
(Please affix signature)



**PRIVACY NOTICE**

**The Information We Collect About You.** The non-public personal information we collect about you comes primarily from the account applications 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. This may include sharing your information with non-affiliated companies that perform support services for your account or process your transactions with us or our affiliates. It may also include sharing your information with our affiliates to bring you the full range of services and products available from Carlton Church's family of financial services companies, including our US and international brokerage, asset management, advisory and trust services companies. Additionally, it may include disclosing your information 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 ends, we will continue to treat the information as described in this Privacy Notice.

**FOR OFFICIAL USE ONLY:**

**Approved by Introducing Broker**

_____	<b>X</b>	_____
Printed Name of Introducing Broker	Signature of Introducing Broker	Date

**Approved by Carlton Church**

_____	<b>X</b>	_____
Printed Name of Compliance Officer	Signature of Compliance Officer	Date



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.

## AGREEMENT A

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

**ACCURACY OF NEW ACCOUNT APPLICATION AND CREDIT INFORMATION**

The information that you have provided Carlton Church is current, accurate, truthful and complete. No one except the person(s) listed on the Account Application (Form) has an interest in the Account being applied for.

**ACCOUNT TYPES.** You understand that you are responsible for selecting the Account type (e.g. single or joint), that is appropriate for your needs and circumstances.

**IDENTITY VERIFICATION FOR ANTI-MONEY LAUNDERING PURPOSES.**

We are required by law to verify the identity of each account owner. CarltonChurch may ask you to provide various identification documents in opening an Account.

**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. Losses may be the entire principal amount you invested. Additionally, the 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 are unsolicited 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.

**TAPE RECORDING.** You hereby authorize Carlton Church to make recordings of telephone conversations between Customer and Carlton Church 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.

**COMMISSIONS, FEES & OTHER COSTS.** Customer agrees to pay all commissions, fees and other costs charged by CarltonChurch. Also, CarltonChurch is authorized to convert funds in Customer's account(s) into and from the relevant foreign currency at the rate of exchange plus appropriate fees, obtained from CarltonChurch.

**EXCHANGE RULES.** All transactions handled by Carlton Church on Customer'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. CarltonChurch shall not be liable to Customer as a result of any action taken by CarltonChurch to comply with such rules.

**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 client prior to being processed.

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

**PURCHASE AND SALES.** To execute purchase orders, CarltonChurch generally require that your Account contain available funds equal to or greater than the purchase price of the securities. To execute sell orders, CarltonChurch generally require that securities belong in the Customer's Account in good deliverable form. Customer agrees that any purchase or sell order accepted (inadvertently or otherwise) by Carlton Church without sufficient funds or negotiable certificates, 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 Customer's expense. In the event that full funds are not available in Customer's Account when a purchase order is executed, Customer 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 Customer's Account, Customer 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, CarltonChurch may liquidate Customer's Account and Customer will be liable for any resulting losses and all associated costs that Carlton Church incur.

**AMENDMENTS AND GUARANTEES.** This Agreement, reflects the entire agreement between Carlton Church and Customer 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 so authorized at Carlton Church 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. Customer agrees to promptly notify CarltonChurch compliance department if any such guarantee is suggested.



**AGREEMENT B**

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

**CONSENT TO JURISDICITON.** Customer agrees 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. Customer consents and submits to the jurisdiction of any International court.

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

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

**SIGNED DOCUMENTATIONS.** Carlton Church requires that all Customers have an original customer agreement with original signatures on file with the Accounts Department. However, at the sole discretion Carlton Church, 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 trans- mitted is to be considered to have the same.

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

*By signing this Application, I acknowledge that I have received and read a copy of the attached Account Opening Agreement. I acknowledge that this Account and my relationship with Carlton Church will be governed by the Account Opening Agreement and all incorporated agreements and disclosures, including but not limited to the Account Opening Agreement. I understand that there are fees associated with establishing, maintaining, engaging in transactions in 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.*

X \_\_\_\_\_

**ACCOUNT HOLDER PRINTED NAME & SIGNATURE**  
(Primary)

X \_\_\_\_\_

**ACCOUNT HOLDER PRINTED NAME & SIGNATURE**  
(Secondary - For Joint Accounts)

