

## Account Application Form

Please fill in BLOCK CAPITAL letter. For faster processing, ensure that the application is fully/correctly completed and all required documents are submitted together with this application form.

### New Account Application Form

What type of account are you opening?		
<input type="checkbox"/> Individual	<input type="checkbox"/> Sole Ownership	<input type="checkbox"/> Community Property
<input type="checkbox"/> Joint Tenant	<input type="checkbox"/> Corporate	<input type="checkbox"/> Custodian
<input type="checkbox"/> Trust	<input type="checkbox"/> Partnership	<input type="checkbox"/> Investment Club
<input type="checkbox"/> Others		

### Account Holder Information

<b>Primary Account Holder</b>		
Last Name	First Name	Middle Name
Address		
City	State	Zip
Home Phone	Work Phone	Email
Date of Birth	Occupation	Employer
Employment Status	<input type="checkbox"/> employed <input type="checkbox"/> self - employed <input type="checkbox"/> retired <input type="checkbox"/> not employed	Job Position
Work Address		
City	State	Zip
Are you a director, 10% shareholder or an officer of a publicly traded company?		<input type="checkbox"/> No <input type="checkbox"/> Yes
Are you associated with a brokerage firm, a member of a stock exchange or the NASD?		<input type="checkbox"/> No <input type="checkbox"/> Yes
Have you ever filled or arbitration or sought other legal remedies against brokerage firm?		<input type="checkbox"/> No <input type="checkbox"/> Yes

<b>Co- Account Holder</b>		
Last Name	First Name	Middle Name
Address		
City	State	Zip
Home Phone	Work Phone	Email
Date of Birth	Occupation	Employer
Employment Status	<input type="checkbox"/> employed <input type="checkbox"/> self - employed <input type="checkbox"/> retired <input type="checkbox"/> not employed	Job Position
Work Address		
City	State	Zip
Are you a director, 10% shareholder or an officer of a publicly traded company?		<input type="checkbox"/> No <input type="checkbox"/> Yes
Are you associated with a brokerage firm, a member of a stock exchange or the NASD?		<input type="checkbox"/> No <input type="checkbox"/> Yes
Have you ever filed or arbitration or sought other legal remedies against a brokerage firm?		<input type="checkbox"/> No <input type="checkbox"/> Yes

### Account Maintenance Instruction

How would you like us to handle the following?			
Dividends	<input type="checkbox"/> Hold	<input type="checkbox"/> Transfer if Requested	Others
Securities	<input type="checkbox"/> Hold	<input type="checkbox"/> Transfer if Requested	Others
Proceeds of Sales	<input type="checkbox"/> Hold	<input type="checkbox"/> Transfer if Requested	Others

## Investment Profile

Securities industry regulations require that we collect all of the following information. For joint accounts please include combined amounts.

Investment Objective for this account <i>(choose only one)</i>	<input type="checkbox"/> <b>Capital preservation</b> <i>Minimize the potential for any loss of principal</i>	<input type="checkbox"/> <b>Income</b> <i>Provide current income rather than growth of principal</i>
	<input type="checkbox"/> <b>Growth</b> <i>Increase investment value over time while accepting price fluctuations</i>	<input type="checkbox"/> <b>Speculation</b> <i>Assume the highest degree of risk for potentially higher returns.</i>
Investment Experience	<input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Good <input type="checkbox"/> Excellent	
Annual Income	<input type="checkbox"/> \$0-\$14,999 <input type="checkbox"/> \$15,000-\$24,999 <input type="checkbox"/> \$25,000-\$49,999 <input type="checkbox"/> \$50,000-\$99,999 <input type="checkbox"/> \$100,000-\$199,999 <input type="checkbox"/> \$200,000+	
Approximate Net Worth <i>(excluding residence)</i>	<input type="checkbox"/> \$0-\$24,999 <input type="checkbox"/> \$25,000-\$49,999 <input type="checkbox"/> \$50,000-\$99,999 <input type="checkbox"/> \$100,000-\$499,999 <input type="checkbox"/> \$500,000-\$999,999 <input type="checkbox"/> \$1,000,000+	
Approximate Liquid Net Worth <i>(cash, stocks, etc.)</i>	<input type="checkbox"/> \$0-\$14,999 <input type="checkbox"/> \$15,000-\$24,999 <input type="checkbox"/> \$25,000-\$49,999 <input type="checkbox"/> \$50,000-\$99,999 <input type="checkbox"/> \$100,000-\$199,999 <input type="checkbox"/> \$200,000-\$499,999 <input type="checkbox"/> \$500,000-\$999,999 <input type="checkbox"/> \$1,000,000+	

## Financial Activities

Primary Account Holder	Co-Account Holder, if applicable								
Marital Status <input type="checkbox"/> single <input type="checkbox"/> married <input type="checkbox"/> divorce <input type="checkbox"/> widowed	Marital Status <input type="checkbox"/> single <input type="checkbox"/> married <input type="checkbox"/> divorce <input type="checkbox"/> widowed								
Number of Dependents (including Self) <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4   other : _____	Number of Dependents (including Self) <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4   other : _____								
Investment Knowledge <input type="checkbox"/> none <input type="checkbox"/> limited <input type="checkbox"/> good <input type="checkbox"/> excellent	Investment Knowledge <input type="checkbox"/> none <input type="checkbox"/> limited <input type="checkbox"/> good <input type="checkbox"/> excellent								
Total Transactions Per Year									
Securities <input type="checkbox"/> 0-9 <input type="checkbox"/> 10-14 <input type="checkbox"/> 15-24 <input type="checkbox"/> 25-74 <input type="checkbox"/> 75+	Currencies <input type="checkbox"/> 0-9 <input type="checkbox"/> 10-14 <input type="checkbox"/> 15-24 <input type="checkbox"/> 25-74 <input type="checkbox"/> 75+	Commodities <input type="checkbox"/> 0-9 <input type="checkbox"/> 10-14 <input type="checkbox"/> 15-24 <input type="checkbox"/> 25-74 <input type="checkbox"/> 75+	Options <input type="checkbox"/> 0-9 <input type="checkbox"/> 10-14 <input type="checkbox"/> 15-24 <input type="checkbox"/> 25-74 <input type="checkbox"/> 75+	Futures <input type="checkbox"/> 0-9 <input type="checkbox"/> 10-14 <input type="checkbox"/> 15-24 <input type="checkbox"/> 25-74 <input type="checkbox"/> 75+	Securities <input type="checkbox"/> 0-9 <input type="checkbox"/> 10-14 <input type="checkbox"/> 15-24 <input type="checkbox"/> 25-74 <input type="checkbox"/> 75+	Currencies <input type="checkbox"/> 0-9 <input type="checkbox"/> 10-14 <input type="checkbox"/> 15-24 <input type="checkbox"/> 25-74 <input type="checkbox"/> 75+	Commodities <input type="checkbox"/> 0-9 <input type="checkbox"/> 10-14 <input type="checkbox"/> 15-24 <input type="checkbox"/> 25-74 <input type="checkbox"/> 75+	Options <input type="checkbox"/> 0-9 <input type="checkbox"/> 10-14 <input type="checkbox"/> 15-24 <input type="checkbox"/> 25-74 <input type="checkbox"/> 75+	Futures <input type="checkbox"/> 0-9 <input type="checkbox"/> 10-14 <input type="checkbox"/> 15-24 <input type="checkbox"/> 25-74 <input type="checkbox"/> 75+
Average Transaction Size <input type="checkbox"/> 0 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000+					Average Transaction Size <input type="checkbox"/> 0 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000+				
How would you like us to send your confirmation? <input type="checkbox"/> By Fax <input type="checkbox"/> Confirm Online (by email). Your email address for confirmation _____									

## Limited Trading Authorization

Will you be giving DISCRETION over this account to another? If YES, please fill out the following section. You also need to complete a separate Limited Authorization Form

To whom and Relationship (Brokerage, if any)	Address	Home/Work Telephone
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## Signature

I am of legal age to enter into this contract. I acknowledge that I have received, read, and agree to be bound by the terms and conditions as currently set forth in the Shigesuke Ltd. Agreement and as amended from time to time. I ACKNOWLEDGE THAT SHIGESUKE LTD. DOES NOT PROVIDE TAX OR LEGAL ADVICE. I understand that you will supply my name to issuers of any securities held in my account so that I might receive any important information regarding them, unless I notify you in writing not to do so.

I acknowledge that I have read and agree to the Rate and Fee Schedule and the Account Agreement with Shigesuke Ltd. I UNDERSTAND THAT THIS ACCOUNT IS GOVERNED BY A PREDISPUTE ARBITRATION CLAUSE. I acknowledge that I have received and read a copy of the Shigesuke Ltd. Customer Agreement which contains a pre-dispute Arbitration Agreement.

Signature of Primary Account Holder	Date
Printed Name	

Signature of Co - Account Holder	Date
Printed Name	

**Shigesuke Ltd. Terms and Conditions**



To: Shigesuke Ltd., ("my Trading Advisor"):



I represent and agree as follows with respect to my account(s) with you.

1. I am of legal age and unless specifically disclosed to you, no one except me has any interest in my account(s).
2. All transactions for my account(s) shall be subject to the constitution, rules, regulations, customs and usages of the exchange or market where executed, as well as to any applicable federal or state laws, rules and regulations.
3. I have instructed my Trading Advisor, as my agent in attorney-in-fact, to open my account(s). I have appointed my Trading Advisor my agent and attorney-in-fact to act for and on behalf of me with respect to all matters relating to my account(s), including placing purchase and sale orders and, if applicable, delivering margin and option instruction.
4. Communications including confirmations and statements, may be sent to me at the address, I have provided or at such other address as I may subsequently provide you my Trading Advisor in writing. All communications so sent shall be deemed to have been given to me personally, whether actually received by me, and I agree to hold you harmless with respect to any losses, costs or expense arising from the delivery or receipt of any such communications.
5. Any and all securities and all other property of whatsoever kind belonging to me or in which I may have an interest held by you or carried for my account(s) shall be subject to a general lien for the discharge of my obligations to you, however arising and without regard to whether you have made advances with respect to such property, and without notice to me and may be pledged, re-pledged, hypothecated or re-hypothecated, separately or in common with other securities or any other property, for the sum due to you thereon or for a greater sum and without retaining in your possession and control for delivery a like amount of similar securities or other property also without notice to me.
6. You are authorized, whenever in your discretion you consider it necessary for your protection and/or in the event I die or am incapacitated, pursuant to a petition in bankruptcy or for the appointment of a receiver is filed by or against me, an attachment is levied against my account(s) or pursuant to any order of any exchange, and without notice to me to: a) sell any and all securities and all other property of whatsoever kind belonging to me or in which I may have an interest held by you or carried for my account(s); b) borrow or buy in any securities required to make delivery against any sale effected for me; c) cancel any or all outstanding orders or commitments for my account(s); d) close my account(s); and/or e) apply or transfer any and all securities and all other property of whatsoever kind belonging to me or in which I may have an interest held by you or carried for my account(s), interchangeably between any of my account(s) or account(s) guaranteed by me. Such sales, purchases or cancellations may be made according to your judgement and at your discretion and may be public or private and without advertising and notice to me and in such manner as you may in your discretion determine and you may purchase the property free from any right of redemption and I shall be liable for any deficiency. Any notice, tender or demand given or received shall not constitute a waiver of this provision.
7. I am liable for payment upon demand of any debit balance or other obligation owed in my account(s) or any deficiencies following a whole or partial liquidation, and I agree to satisfy any such demand or obligation I agree to reimburse you for all reasonable costs and expenses incurred in the collection of any debit balance or unpaid deficiency in my account(s) including, but not limited to, interest, attorney's fee and costs.
8. You shall not be liable for loss or delay caused directly or indirectly by government restrictions, exchange or market rulings, suspension of trading or other conditions beyond your control, including volatility and trading volumes.
9. No waiver of any provision of this Agreement shall be deemed a waiver of any other provisions, nor a continuing waiver of the provision or provisions waived.
10. I understand that no provision of this Agreement can be amended or waived except by a writing signed by an officer of Shigesuke Ltd. and that this Agreement shall continue in force until its termination by me is acknowledged in writing by an officer of Shigesuke Ltd., or until written notice of termination by you shall have been mailed to me at my address last given to you.
11. If any provision hereof is or at anytime should become inconsistent with any present or future law, rule or regulation of any securities exchange, or of any sovereign government or a regulatory body thereof and if these bodies have jurisdiction over the subject matter of this Agreement, such provision shall be deemed to be superseded or modified to conform to such law, rule or regulation, but in all other respect this Agreement shall continue and remain in full force and effect.
12. If this is a joint account, unless all account holders notify you otherwise and provide such documentation as you may require, the account shall be held jointly with rights of survivorship (payable to survivor(s) of us). Each joint tenant irrevocably appoints the other(s) as attorney(s)-in-fact to take all action on his or her behalf and to represent him or her in all respects. You shall be fully protected in acting on the instructions of any of us and each of us shall be liable, jointly and individually, for any amounts due to you, whether incurred by one or all of us.
13. I understand you will disclose my name and address to issuers of securities held in my account(s) so that I can receive information from other issuer. If I do not consent to such disclosure, I will notify in writing.
14. I agree and consent to the electronic recording of telephone conversations with me.
15. Reports of the execution of orders and statements of my account(s) shall be conclusive if not objected to in writing within three days and ten days, respectively, after transmittal to me by mail or otherwise.
16. This agreement shall inure to the benefit of your successors and assigns, shall be binding on me, my heirs, executors, administrators and assigns.
17. AGREEMENT TO ARBITRATE ALL CONTROVERSIES.

**ARBITRATION IS FINAL AND BINDING ON THE PARTIES. THEIR PARTIES ARE WAIVING THEIR RIGHTS TO SEEK REMEDIES IN COURT, INCLUDING THE RIGHT TO JURY TRIAL. PRE-ARBITRATION DISCOVERY IS GENERALLY MORE LIMITED THAT AND DIFFERENT FROM COURT PROCEEDINGS. THE ARBITRATORS' AWARD IS NOT REQUIRED TO INCLUDE FACTUAL FINDINGS OR LEGAL REASONING AND ANY PARTY'S RIGHT TO APPEAL OR TO SEEK MODIFICATIONS OF RULING BY THE ARBITRATORS IS STRICTLY LIMITED. THE PANEL OR ARBITRATORS WILL TYPICALLY INCLUDE A MINORITY OF ARBITRATORS WHO WERE OR ARE AFFILIATED WITH THE SECURITIES INDUSTRY.**

By signing below, I warrant and agree to the following: (1) I have personally completed and signed this agreement; (2) The application information I provided herein is accurate and complete and I will timely update you with any material change thereof; (3) It is reasonable for you to rely upon such data; and (4) I have read and understood the terms/conditions of this agreement, and any other such applicable agreement that you may require

	
Signature of Primary Account Holder	Date

	
Signature of Co - Account Holder	Date


Printed Name


Printed Name