

Thank you for your interest in applying for an Account.

Daiwa Aoyama Bldg 25th, Floor,
 Jingumae 3-chome,
 Shibuya-ku, Tokyo
 Japan

Trading Desk: +81 50 5806 9661

Email accounts@ledgercaptmgt.com

In order to apply for an Account, you need to complete, sign & date our Account Application Form. It should only take 5-10 minutes to complete the Account Application Form although it is important that you complete the form fully and accurately.

You can either complete the form on your computer & print it out to be scanned and emailed, or you can simply print the form and complete by hand, before emailing to our accounts department.

We are here to help. If you require any assistance completing the Account Application Form, please contact your Client Advisor who will be pleased to help.

Account Application

Account Type

- Individual Please enter your Full Legal Name as per your Passport below, and proceed to complete the Primary Accountholder Details
- Joint Please enter your Full Legal Names as per your Passports below, and proceed to complete the Primary & Joint Accountholders' Details
- Corporate Please enter the Full Legal Name of the Company as per your Memorandum & Articles of Incorporation and your Company Details below
- Trust Please enter the Full Legal Name of the Trust as per your Memorandum & Articles of Incorporation and your Trust Details below

Full Legal Name

Please enter the Full Legal Name of the Owner of this Account. If you are applying to open an Individual or Joint Account, please enter your Full Legal Name(s) as per your Passport. If you are applying to open a Corporate or Trust Account, please enter the Full Legal Name of the Company or Trust, as per your Memorandum & Articles of Incorporation.

Individual and Joint Accountholders

If you are applying to open an Individual or Joint Account, please skip the next section and proceed to complete the Primary (and Joint) Accountholder Details on the next page.

Corporate and Trust Details

If you are applying to open a Corporate or Trust Account, please enter the Address and Registration Details of your Company or Trust in the section below.

Address	<input style="width: 100%; height: 60px;" type="text"/>	City	<input style="width: 100%; height: 25px;" type="text"/>
		Postcode	<input style="width: 100%; height: 25px;" type="text"/>
Incorporated in	<input style="width: 100%; height: 25px;" type="text"/>	Company No.	<input style="width: 100%; height: 25px;" type="text"/>
Company Type	<input style="width: 100%; height: 25px;" type="text"/>	Nature of Business	<input style="width: 100%; height: 25px;" type="text"/>
Authorised Contact	<input style="width: 100%; height: 25px;" type="text"/>	Position in Company	<input style="width: 100%; height: 25px;" type="text"/>

Accountholder Details

Primary Accountholder Details

Title Mr Mrs Ms Dr

First Name(s)

Surname

Address

City

Country

Postcode

Date of Birth

Place of Birth

Nationality

Marital Status Single Married
 Divorced Widowed
 Common-Law Civil Union

Dependants

Occupation

Employer

Years Employed

Type of Business

Home Phone

Work Phone

Mobile Phone

Fax

Email Address

2nd Email

Joint Accountholder Details

Title Mr Mrs Ms Dr

First Name(s)

Surname

Address

City

Country

Postcode

Date of Birth

Place of Birth

Nationality

Marital Status Single Married
 Divorced Widowed
 Common-Law Civil Union

Dependants

Occupation

Employer

Years Employed

Type of Business

Home Phone

Work Phone

Mobile Phone

Fax

Email Address

2nd Email

Financial Information

Annual Income

- \$25,000-\$50,000
- \$50,000-\$100,000
- \$100,000-\$200,000
- \$200,000-\$1m
- \$1m-\$5m
- \$5m+

The total amount of Income from all sources during the last Tax Year

Liquid Net Worth

- \$25,000-\$50,000
- \$50,000-\$100,000
- \$100,000-\$200,000
- \$200,000-\$1m
- \$1m-\$5m
- \$5m+

The total amount of your Assets including Cash & Securities, excluding your Primary Residence

Total Net Worth

- \$25,000-\$50,000
- \$50,000-\$100,000
- \$100,000-\$200,000
- \$200,000-\$1m
- \$1m-\$5m
- \$5m+

The total amount of your Assets including your Primary Residence

Investment Experience

Have you ever traded?

- Stocks
- Bonds
- Futures & Options
- Commodities
- Managed Funds
- ETF's/Unit Trusts

How many Years Experience?

Your Investment Knowledge?

Current Value of Your Investments?

Do you have any Accounts with other Brokerage Firms? Yes No

Investment Objectives

- Income
- Growth
- Balanced (Income & Growth)
- Trading & Speculation

Risk Tolerance

- Conservative
- Moderate
- Aggressive

Disclosure of Possible Conflicts of Interest

Are you affiliated with or employed by a stock exchange or member firm of an exchange or a policy making body or a securities broker-dealer, or any other firm related to the Financial Services or Investment Industry?

Yes No

Are you a director, 10% shareholder or policy-making officer of a publicly held company?

Yes No

If "yes", you must complete the section below with details of your Employer

Company Name

Trading Symbol

Account Terms and Conditions

1. Parties. In this Agreement, the term “You” and “Your” shall mean You, individually, individual(s), Corporation(s) or Party/Parties who /is/are the Account owner (s), has/have an interest in the Account(s) ,and consent(s) to be bound by the Terms of this Agreement and each other party on whose behalf may use the services at any time. All references to “We”, “Us” or “Our” shall refer to Ledger Capital Management Limited, its employees, officers and directors.

THE FOLLOWING IS A LEGALLY BINDING CONTRACT BETWEEN YOU AND US AND GOVERNS YOUR RELATIONSHIP WITH US. BY CONDUCTING TRANSACTIONS WITH US, YOU ARE ACCEPTING AND AGREEING TO ABIDE BY ALL OF THESE TERMS AND CONDITIONS.

2. Purchases and Sales. We undertake on a “best efforts” basis, to sell or purchase securities on behalf of You, as per your instructions. Until such time as You receive a confirmation order of the sale and/or purchase, We shall not warrant that any trade, in whole or in part, can be completed.

3. Delivery. You shall upon notice of the company, deliver all documents and any monies necessary to complete the purchase or sale to be executed by Us as authorized and instructed by You.

4. Fees. In all transactions that We make on Your behalf, You pay a handling fee of 1%. This fee of 1% is levied on either the sale or purchase of Securities.

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

6. 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.

7. 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.

8. Risk. You understand that all purchases of investments involve risk and may not be suitable to all purchasers. Losses may be my entire principal of any or all purchases. The past performance of the price or value of any Asset, Security, Industry, Sector, Market, or Financial Product does not guarantee future results or returns.

9. Accuracy of New Account Application. You herein confirm to Us that all information provided by You is accurate and of a legal and truthful nature.

10. Personal Information. You affirm that You are of legal contracting age in your jurisdiction, or that Your entity has the legal authority to enter into this contract, and that You have read this contract. We shall keep Your details and transactions strictly confidential. You agree to notify Us in writing should there be any changes of material fact.

11. 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.

12 (A). Electronic Transaction Confirmations and Account Statements. It is Your responsibility to review all confirmations of transactions immediately on receipt, whether delivered to you electronically, by postal mail or otherwise. You will notify Us of any objection to the Terms of a Confirmation within one (1) day after my receipt of Your confirmation. We are entitled to treat the Terms of the Confirmation as accurate and conclusive unless You object within two (2) day of receipt. In all cases, We reserve the right to determine the validity of Your objection.

(B). It is Your responsibility to review all Account statements promptly on receipt, whether delivered to You electronically, by postal mail or otherwise. You will notify Us of any objection (including any claim of improper transfers, omissions, check alterations, forgeries, other errors or fraudulent occurrences) to the information contained in Your Account statement (excluding securities transactions, which are covered by transaction confirmations as stated above) within five (5) days after Your receipt of the statement. We are entitled to treat the information contained in the Account statement as accurate and conclusive unless You object within five (5) days of receipt. In all cases, We reserve the right to determine the validity of Your objection to the information contained in the Account statement.

13. 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 30 days after receipt of such notice shall represent Your acceptance of such terms.

14. Prior Agreements. All previous agreements between You and Us are superseded by the Terms and Conditions herein.

15. Authorized Signatories. Signatures given below will be used in this and further transactions between You and Us as a means of identification. You agree that the signature(s) below are accurate and signed by You or Your Entities. By signing this agreement You and or Your Entities are legally bound and agree to these terms and conditions.

Signature(s)

I/We hereby acknowledge that I/We have received and understood these terms and conditions containing my/our rights and obligations whether through affirmative acknowledgement or by undertaking trading activity with Ledger Capital Management Limited

Primary Accountholder

Joint Accountholder

Date

Date