



Account Application

Izumi Garden Tower, 1-6-1 Roppongi, Minato-ku
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About this Application

This is a Retail Brokerage Account Application. Please read it carefully, as you will select products and services, tell us how you want to communicate with Thompson Mergers, and agree to certain provisions that will govern our relationship. When we accept it, this Application and all accompanying or supplemental documents form the entire Agreement between us for this account.

Unless otherwise indicated in this Application, the words “you,” “your,” “yourself,” and “yours” mean the applicant(s). The words “we,” “us,” and “our” mean “Thompson Mergers and our branches, subsidiaries, and affiliates.”

Getting Started

Please complete and sign this Application, along with any required supplemental forms identified through this application process.

In order to complete this Application, you will need some or all of the following information:

- Identification information, such as a driver’s license, passport, or another type of government-issued identification
- Social Security Number
- Tax information (ID Number)
- Information about your annual income, debt, expenses, and net worth
- Back-up contact information
- [Firms can include other relevant documents or information]

Please remember to notify us if you experience a significant life change, such as the birth of a child, marriage, divorce, death of a spouse, loss of a job, change in financial situation, etc.

Account application type

Individual Account

Joint Account (more than one account holder)

[Firms should include the appropriate joint account types consistent with the states in which they are doing business, e.g. Tenants by the Entirety, Joint Tenants with Right of Survivorship, Community Property, Tenants in Common, etc.]

Other Accounts

Do you have other accounts with us? Yes No

Second Applicant

Contact Information

Mr. Mrs. Ms. Dr. **Suffix** Sr. Jr.

First Name

Middle Name

Last Name

Permanent Address

Apt/Suite No.

City

State

Post Code

Country

Work Phone

Home Phone

Mobile Phone

Email Address

Please check if you have been at your current home address for less than one year.

Mailing Address (if different from above)

Apt/Suite No.

City

State

Post Code

Country

Are you:

Single Married Domestic Partner Divorced Widowed Number of Dependents: _____

Employment Status

Are you currently:

Employed Self-Employed Not Employed Retired Student Other: _____

Job Title

Occupation

Employer

Years with this Employer

Business Address

Apt/Suite No.

City

State

Post Code

Country

USA PATRIOT Act Information (Required by Federal law)

All applicants please provide the information below. Non-resident aliens.

Date of Birth (mm/dd/yyyy)

Social Security or Taxpayer ID No.

Country of Citizenship

ID No. (Select one): Driver's License Passport State ID Other Government-issued ID Place/Country of Issuance

Issue Date (mm/yyyy)

Expiration Date (mm/yyyy)

Country of Tax Residence (if different than country of citizenship)

All Applicants

Industry and Other Affiliations

Primary Applicant Co-Applicant

Yes No Yes No

Are you, your spouse, or any other immediate family members, including parents, in-laws, siblings and dependents:

Employed by or associated with the securities industry (for example, a sole proprietor, partner, officer, director, branch manager, registered representative or other associated person of a broker-dealer firm) or a financial services regulator?

If yes, please specify entity below. If this entity requires its approval for you to open this account, please provide a copy of the required authorization letter (with this Application).

Broker-Dealer or Municipal Securities Dealer Investment Adviser
 FINRA or other Self-Regulatory Organization* State or Federal Securities Regulator
 (*Including a national securities exchange, registered securities association, registered clearing agency or the Municipal Securities Rulemaking Board.)

Name of entity(ies): _____

Yes No Yes No

An officer, director or 10% (or more) shareholder in a publicly-owned company?

Name of company and symbol: _____

Yes No Yes No

A senior military, governmental or political official in a non-US country?

Name of country: _____

[Firms may consider whether to include this question in the context of their risk assessment procedures and the products and services they offer.]

Financial Situation and Needs, Liquidity Considerations, and Tax Status

Please tell us your best estimate as to:

ANNUAL INCOME ¹ (from all sources)	NET WORTH ² (excluding your residence)	LIQUID NET WORTH ³	TAX RATE (highest marginal)
<input type="checkbox"/> \$25,000 and under	<input type="checkbox"/> \$25,000 and under	<input type="checkbox"/> \$25,000 and under	<input type="checkbox"/> 0 - 15%
<input type="checkbox"/> \$25,001-50,000	<input type="checkbox"/> \$25,001-50,000	<input type="checkbox"/> \$25,001-50,000	<input type="checkbox"/> 16-25%
<input type="checkbox"/> \$50,001-100,000	<input type="checkbox"/> \$50,001-200,000	<input type="checkbox"/> \$50,001-200,000	<input type="checkbox"/> 26-30%
<input type="checkbox"/> \$100,001-250,000	<input type="checkbox"/> \$200,001-500,000	<input type="checkbox"/> \$200,001-500,000	<input type="checkbox"/> 31-35%
<input type="checkbox"/> \$250,001-500,000	<input type="checkbox"/> \$500,001-1,000,000	<input type="checkbox"/> \$500,001-1,000,000	<input type="checkbox"/> Over 35%
<input type="checkbox"/> Over \$500,000	<input type="checkbox"/> \$1,000,001-3,000,000	<input type="checkbox"/> \$1,000,001-3,000,000	
	<input type="checkbox"/> Over \$3,000,000	<input type="checkbox"/> Over \$3,000,000	

ANNUAL EXPENSES ⁴ (recurring)	SPECIAL EXPENSES ⁵ (future, non-recurring)	LIQUIDITY NEEDS
<input type="checkbox"/> \$50,000 and under	<input type="checkbox"/> \$50,000 and under	The ability to quickly and easily convert to cash all or a portion of the investments in this account without experiencing significant loss in value from, for example, the lack of a ready market, or incurring significant costs or penalties is (check one)
<input type="checkbox"/> \$50,001-100,000	<input type="checkbox"/> \$50,001-100,000	
<input type="checkbox"/> \$100,001-250,000	<input type="checkbox"/> \$100,001-250,000	
<input type="checkbox"/> \$250,001-500,000	<input type="checkbox"/> \$250,001-500,000	
<input type="checkbox"/> Over \$500,000	<input type="checkbox"/> Over \$500,000	
	Timeframe for special expenses:	<input type="checkbox"/> Very important
	<input type="checkbox"/> Within 2 years	<input type="checkbox"/> Important
	<input type="checkbox"/> 3-5 years	<input type="checkbox"/> Somewhat important
	<input type="checkbox"/> 6-10 years	<input type="checkbox"/> Does not matter

Annual income includes income from sources such as employment, alimony, social security, investment income, etc.

Net worth is the value of your assets minus your liabilities. For purposes of this application, assets include stocks, bonds, mutual funds, other securities, bank accounts, and other personal property. Do not include your primary residence among your assets. For liabilities, include any outstanding loans, credit card balances, taxes, etc. Do not include your mortgage.

Liquid net worth is your net worth minus assets that cannot be converted quickly and easily into cash, such as real estate, business equity, personal property and automobiles, expected inheritances, assets earmarked for other purposes, and investments or accounts subject to substantial penalties if they were sold or if assets were withdrawn from them.

Annual expenses might include mortgage payments, rent, long-term debts, utilities, alimony or child support payments, etc.

Special expenses might include a home purchase, remodeling a home, a car purchase, education, medical expenses, etc.

Please Tell Us About Yourself—CONTINUED

Investment Risk Tolerance

Investing involves risk. Different investment products and strategies involve different degrees of risk. The higher the expected returns of a product or strategy, the greater the risk that you could lose most of your investment. Investments should be chosen based on your objectives, timeframe, and tolerance for market fluctuations.

Please select the degree of risk you (and any co-applicants, if applicable) are willing to take with the assets in this account.

- Conservative.** I want to preserve my initial principal in this account, with minimal risk, even if that means this account does not generate significant income or returns and may not keep pace with inflation.
- Moderately Conservative.** I am willing to accept low risk to my initial principal, including low volatility, to seek a modest level of portfolio returns.
- Moderate.** I am willing to accept some risk to my initial principal and tolerate some volatility to seek higher returns, and understand I could lose a portion of the money invested.
- Moderately Aggressive.** I am willing to accept high risk to my initial principal, including high volatility, to seek high returns over time, and understand I could lose a substantial amount of the money invested.
- Significant Risk.** I am willing to accept maximum risk to my initial principal to aggressively seek maximum returns, and understand I could lose most, or all, of the money invested.

Financial Investment Experience

We are collecting the information below to better understand your investment experience. We recognize your responses may change over time as you work with us.

Please check the boxes that best describe your investment experience to date.

Investment	Years' experience			Transactions per year (excluding automatic investments)		
Mutual Funds/ Exchange Traded Funds	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> Over 5	<input checked="" type="checkbox"/> 1-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Individual Stocks	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> Over 5	<input checked="" type="checkbox"/> 1-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Bonds	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> Over 5	<input checked="" type="checkbox"/> 1-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Options	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> Over 5	<input checked="" type="checkbox"/> 1-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Securities Futures	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> Over 5	<input checked="" type="checkbox"/> 1-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Annuities	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> Over 5	<input checked="" type="checkbox"/> 1-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Alternative	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> Over 5	<input checked="" type="checkbox"/> 1-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Margin	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> Over 5	<input checked="" type="checkbox"/> 1-5		

May include structured products, hedge funds, etc.

Decision-Making (check all that apply)

- I consult with my broker, investment adviser, CPA, or other financial professional.
- I generally make my own decisions and/or consult with my co-applicant(s).
- I discuss investment decisions with family and/or friends.

Please Tell Us About Yourself—CONTINUED

Other Investments

Please provide us with additional information about your other investments to help us more fully understand your investment profile and identify what types of investments or strategies may be suitable for you.

Investment type/Description	Firm holding the investment	Amount (\$US)
		\$
		\$
		\$
		\$
		\$
		\$
		\$
		\$
		\$
		\$
		\$

(use additional space as needed)

Review and Submit This Application

Confirmations and Signatures – Please Read Carefully

[Note: If the firm uses a Pre-dispute Arbitration clause, it must comply with applicable FINRA disclosure requirements and restrictions on provisions that limit rights and remedies.]

The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

Signatures

Primary Applicant Name (please print)

Primary Applicant Signature

Date

Second Applicant Name (please print)

Second Applicant Signature

Date

[Firms should insert their principal and other required signature blocks here. Firms may also include or attach any additional disclosures such as privacy policies, business continuity plans, revenue sharing disclosures, etc.]

Extra Facilities

[Firms may use this section to indicate any additional account features or offerings such as check writing services, debit/credit cards, cash management programs, and the like.]

Please note: You may change your account features and options at any time, with advance written notice to us.

Borrowing Money to Buy Securities (Buying “On Margin”) – Please Read Carefully

You will have a “cash account,” unless you choose to have a “margin loan account” (customarily known as a “margin account”). To help you decide whether a margin loan account is right for you, please read this information, the Margin Loan Agreement and the Margin Disclosure Statement.

In a cash account, you pay for your securities in full by the settlement date of the purchase (generally three business days from the purchase). In a margin loan account, we may lend you a portion of the purchase price. This is called buying securities “on margin.” For example, when you buy equity securities (such as common stock) on margin, you typically must deposit at least 50% of the purchase price, and we would loan you the balance. **You are liable for repaying the borrowed funds and the interest incurred.**

If you borrow funds in your margin loan account and the value of your holdings declines below the firm’s and /or regulatory maintenance margin requirement, you may be subject to a “margin call.” This means that we can either (1) require you to deposit additional cash or margin-eligible securities to your account immediately, or (2) sell **any** of the securities in your account to cover any shortfall, **without informing you in advance.** We will decide which of your securities to sell. **Even if we notify you that you have a certain number of days to cover the shortfall, we may still sell your securities before that timeframe expires.** Further, we may increase at any time the level of equity that you must maintain in your margin account without triggering a margin call.

We have the right to lend shares held in your margin loan account to others. This should not impede your ability to sell these shares, but may cause you to lose voting rights and the right to preferred tax treatment on certain dividend payments.

[Firms may specify here individual policies on how trades are handled if there are insufficient funds for margin or cash accounts.]

Borrowing funds to buy securities is only appropriate for those investors who can tolerate losing more than the amount of money deposited in the account. To avoid the use of margin, even in a margin loan account, always pay for your purchases in full by the settlement date of the purchase.

- No** I do not want the ability to borrow funds in my account, which means I will have a cash account.
- Yes** I want the ability to borrow funds in my account. I have read the Margin Loan Agreement and the Margin Disclosure Statement . I also understand my rights and obligations.

Note: If you do not check any box above, by default you will have a cash account.

[Firms should indicate what type of account will be the default if the customer fails to indicate a choice above.]

PLEASE MAIL YOUR COMPLETED APPLICATION FORM TO:

accounts@thompsonmergers.com