



Anti-Money Laundering & Legal Requirements

Anti-Money Laundering (the AML Act) requires us to collect identification information and documentation from prospective investors. Our Application Form captures personal information about investors to comply with the requirements of the AML act.

This includes details such as your occupation (for individuals) or business activity (for companies / other entities) as well as your source of funds. Under the AML Act we are prohibited from processing your application until we have received all the required information and identification documents.

Please note, in some cases we may need to collect further information and/or documentation from you in order to comply with our obligations under the AML Act.

For more information please visit our website: www.tnpsecurities.com/

Important Instructions for completing this form

Start filling out the requested information in the corresponding fields. Once completed print the forms out. (Please note: Adobe Reader does not allow you the option to save your work, it is important that you print out your form immediately after completion.)

When your forms have been completed and ensured that no mistakes have been made, please sign, date, scan and together with the Account Terms & Conditions send the following forms back via email or fax as advised below.

Should you have any questions or need further assistance with completing the form, please contact us via email or telephone and one of our advisors will assist you.

1 Yonge St Suite 2200,
Toronto, Ontario M5E
1E5, Canada.

19th Floor Akihabara
UDX Building,
Tokyo, Japan.

info@tnpsecurities.com
accounts@tnpsecurities.com

+1 647 724 3555
+81 3 4590 2821

Section 3 - Account Holder Details

1. Establish your Tokai National Partners account (Continued)

Account Holder (Continued) Securities Industry Regulations require that we collect the following information:

Check only one:

- Employed Student Homemaker
 Self-employed Retired Not employed

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

- *Yes No

*If yes, which company(ies)?

Employer

Company name

Occupation/Position

Trading Symbol

Industry of Employment

Company name

Marital Status

- Single Married Divorced

Number of Dependents

Trading Symbol

Investment Knowledge & Experience:

- None
 Limited
 Good
 Extensive

Annual Income:

- \$25,000 - \$49,999
 \$50,000 - \$99,999
 \$100,000 - \$249,999
 \$250,000 - \$499,999
 \$500,000 - \$999,999
 Over \$1,000,000

Liquid Net Worth:

- \$50,000 - \$100,000
 \$100,000 - \$250,000
 \$250,000 - \$500,000
 \$500,000 - \$1,000,000
 \$1,000,000 - \$3,000,000
 Over \$3,000,000

Tot Net Worth:

- \$50,000 - \$100,000
 \$100,000 - \$500,000
 \$500,000 - \$1,000,000
 \$1,000,000 - \$3,000,000
 \$3,000,000 - \$5,000,000
 Over \$5,000,000

2. Overall Investment Objective of Account

- Capital Preservation Income Growth Speculation

3. How did you hear about us?

- General Reputation TV Interview Yahoo Finance General Advertisement Referral

4. Additional Regulatory Questions

A. Are you, or are any of your immediate family members, a current or former senior official in the executive, legislative, administrative, military or judicial branch of any government; a senior official of a major political party; or a senior executive of an enterprise owned by a government; or do you maintain a close personal or professional relationship with such an individual?

- Yes* No

*If yes, please describe the person who has the position and your relationship if it is not yourself

B. Describe how you accumulated the funds that you intend to invest with us:

- Salary/Wages/Savings Investment/Capital Gains Family/Relatives/Inheritance Other

Section 5 - Authorization to Open Account

By signing this application, you acknowledge that you have received and read a copy of the attached Application Agreement. You acknowledge that your signature signifies and constitutes your agreement that this account and your relationship with 'Tokai National Partners' will be governed by the Application Agreement and all incorporated agreements and disclosures.

For purposes of this Account Application and the attached Application Agreement, the terms "you," "your" and "Account Holder" refer to each person who signs this Account Application. The terms "we," "us," and "TNP" refer to "Tokai National Partners". (Account Holder(s)) represent that the foregoing information is true and correct, and will notify "Tokai National Partners" of any material changes, 'TNP' reserves the right, but has no duty, to verify the accuracy of information provided, and to contact such bankers, brokers and others as it deems necessary.

Signature(s) and Date(s) Required

X

Account Holder Signature

Print Name

Date (DD/MM/YYYY)

X

Additional Account Holder Signature

Print Name

Date (DD/MM/YYYY)

Section 6 - Terms & Conditions

1. **Involved Parties.** (a) For purposes of this Agreement, the terms "you," "your" and "Account Holder" refer to each person who signs this Agreement; (b) All references to "we", "us" or "our" shall refer to Tokai National Partners, hereinafter referred to as "TNP", its employees, officers, and directors; (c) Individually, Individual(s), Corporation(s) or Party/Parties who is/are the Account Holder(s) consent(s) to be bound by the Terms of this Agreement.

2. **Acceptance of Agreement.** You agree that the Agreement and Disclosures govern all aspects of your relationship with TNP, including all transactions between TNP and you and all products and services now or in the future offered through TNP. It is also agreed that TNP may rely on your use of our products and services as evidence of your continued acceptance of the Agreement and Disclosures.

3. **Your Representations, Warranties, and Accuracy of Your New Account Application.** You represent and warrant that: (a) you are of legal age in the country in which you live, and you are authorized to enter into this Agreement; (b) you have supplied accurate information in your Account Application; (c) no one except the Account Holder(s) listed on the Account Application has an interest in the Account; (d) no additional authorizations from third parties are required for you to open the Account and effect transactions therein; (e) except as you have otherwise indicated on your Account Application or in writing to us; (f) you are not an employee of or affiliated with any securities exchange or member firm of any Exchange, the Financial Industry Regulatory Authority, or any securities firm, bank, trust company, or insurance company; and (g) you are not a director, 10% beneficial shareholder, policy-making officer, or otherwise an "affiliate" (as defined in Rule 144 under the Securities Act of 1933) of a publicly traded company; and (h) this Application Agreement, as amended from time to time, is a legal, valid and binding obligation, enforceable against you in accordance with its terms.

4. **Responsibility for Investment Decisions.** You agree that you are solely responsible for investment decisions in your Account, including whether to buy or sell a particular security. You understand that TNP has no obligation to determine whether a particular transaction, strategy, or purchase or sale of a security is suitable for you. Your commitment includes an affirmative duty to monitor and stay informed about your Account and your investments and respond to changes as you deem appropriate. Unless TNP otherwise agrees with you in writing, TNP does not have any discretionary authority or obligation to review or make recommendations for the investment of securities or cash in your Account. You acknowledge that TNP does not provide tax or legal advice.

5. **Verification.** You authorize TNP to inquire from any source, including consumer reporting agency, as to your identity, creditworthiness and ongoing eligibility for the Account at any time throughout the life of the Account.

6. **Fees.** In all transactions that we make on your behalf, unless otherwise stated in writing to you, you pay a handling fee fixed at 1%. This fee of 1% is levied on either the sale or purchase of Securities through TNP.

7. **Account Purchase and Sales Handling.** We undertake on a "best efforts" basis, to purchase or dispose of securities on your behalf, as per your instructions. TNP will automatically hold all of your securities purchased, sales proceeds, dividends and interest. We will also release your name, address and securities positions to companies in which we hold securities for your Account upon request, unless you notify us otherwise in writing. If you maintain more than one account at TNP, you authorize us to transfer assets between your accounts when no written authorization is requested.

8. **Delivery.** You shall upon notice of the company, deliver all documents and any monies necessary to complete the purchase or sale, executed by us, as authorized and instructed by you.

9. **Payment of Indebtedness.** (a) You agree to make payment of any indebtedness related to your Account, including, but not limited to, any such indebtedness that results from instructions provided to TNP by you. We may report any past-due account to a consumer and/or securities credit reporting agency. We may also refer your Account to a collection agency; (b) In the event of a breach or default by you under this Agreement, TNP will have the rights and remedies available to a secured creditor under all applicable laws in addition to the rights and remedies provided in this Agreement. If you owe money to TNP as the result of activity in your Account and there are assets available in any non-retirement brokerage account that you hold, which could fully or partially satisfy the debt, you agree that, upon TNP written demand, you will execute all documents necessary to effect a transfer from your non-retirement brokerage account and agree to pay or cause such funds to be paid immediately to us in order to satisfy your indebtedness.

10. **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.

11. **Termination.** It is agreed that: (a) You may close your Account at your discretion after all Debit Balances are paid to TNP by sending us written notice at any time, subsequently confirmed as being received by us; (b) 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 by us to you in line with your instructions.

12. **Prior Agreements.** All previous agreements between you and us by the Terms and Conditions of this Agreement.

13. **Electronic Transaction Confirmations and Account Statements.** It is understood in this Agreement that: (a) it is your responsibility to review all Confirmations of Transactions immediately upon receipt by you from TNP whether delivered to you electronically or otherwise. In the event of dispute you must notify us in written form within 1 (one) working day. TNP may rely on your use of TNP products and services as evidence of your acceptance of any Trade Confirmation; (b) it is your responsibility to review all Account documents promptly upon receipt by you from TNP, whether delivered to you electronically, or otherwise. You must 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 stated above) within 5 (five) working days from receipt of the Statement. TNP may rely on acceptance of the Statement after 5 (five) working days and continued use of TNP products and services. In any event, we reserve the right to determine the validity of your objection to the information contained in the Account Statement.

14. **Authorized Signatures.** The signatures given below will be used in this and all further Transactions between you and TNP 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) and Date(s) Required

X

Account Holder Signature

Print Name

Date (DD/MM/YYYY)

X

Additional Account Holder Signature

Print Name

Date (DD/MM/YYYY)