

ACCOUNT APPLICATION

☐ Individual ☐ Joint ☐ Corporate

Account Number

PRIMARY ACCOUNT HOLDER INFORMATION

☐ Mr. ☐ Mrs. ☐ Miss ☐ Other (Please specify) _____

First Name _____

Middle Name _____

Last Name _____

Please check your preferred address for all **Apex Capital LLC** legal documents and shares registration.

☐ Home Address ☐ Company Address

Company Name (Please indicate if you checked Company Address)

Street Number and Name _____

Town/District _____

City _____

Post Code _____

Country _____

Main Contact Information

Home Number _____

Business Number _____

Mobile Number _____

Fax Number _____

Email Address _____

Alternative Contact Information

Home Number _____

Business Number _____

Mobile Number _____

Fax Number _____

Email Address _____

Please indicate preferred time to take a call.

☐ Morning ☐ Afternoon ☐ Evening

SECONDARY ACCOUNT HOLDER INFORMATION

☐ Mr. ☐ Mrs. ☐ Miss ☐ Other (Please specify) _____

First Name _____

Middle Name _____

Last Name _____

Please check your preferred address for all **Apex Capital LLC** legal documents and shares registration.

☐ Home Address ☐ Company Address

Company Name (Please indicate if you checked Company Address)

Street Number and Name _____

Town/District _____

City _____

Post Code _____

Country _____

Main Contact Information

Home Number _____

Business Number _____

Mobile Number _____

Fax Number _____

Email Address _____

Alternative Contact Information

Home Number _____

Business Number _____

Mobile Number _____

Fax Number _____

Email Address _____

Please indicate preferred time to take a call.

☐ Morning ☐ Afternoon ☐ Evening

ACCOUNT APPLICATION

PRIMARY ACCOUNT HOLDER INFORMATION	SECONDARY ACCOUNT HOLDER INFORMATION
In compliance with the Anti-Money Laundering guidelines, you are required to complete the information asked below.	
Date of Birth _____ Place of Birth _____ Nationality _____ Country of Citizenship _____ Driver's License Number _____ Passport Number _____ Marital Status ☐ Unmarried ☐ Married ☐ Divorced ☐ Separated ☐ Widowed Employment Status ☐ Self Employed ☐ Employed ☐ Not Employed ☐ Company Owner ☐ Retired Primary Occupation _____	Date of Birth _____ Place of Birth _____ Nationality _____ Country of Citizenship _____ Driver's License Number _____ Passport Number _____ Marital Status ☐ Unmarried ☐ Married ☐ Divorced ☐ Separated ☐ Widowed Employment Status ☐ Self Employed ☐ Employed ☐ Not Employed ☐ Company Owner ☐ Retired Primary Occupation _____

PRIMARY ACCOUNT HOLDER INFORMATION	SECONDARY ACCOUNT HOLDER INFORMATION																																																
Trading Experience <i>(Please check appropriate box)</i> <table border="1"> <thead> <tr> <th></th> <th>NONE</th> <th>LESS THAN 1 YEAR</th> <th>1 - 5 YEARS</th> <th>6 - 10 YEARS</th> <th>MORE THAN 10 YEARS</th> </tr> </thead> <tbody> <tr> <td>STOCKS</td> <td>☐</td> <td>☐</td> <td>☐</td> <td>☐</td> <td>☐</td> </tr> <tr> <td>BONDS</td> <td>☐</td> <td>☐</td> <td>☐</td> <td>☐</td> <td>☐</td> </tr> <tr> <td>MUTUAL FUNDS</td> <td>☐</td> <td>☐</td> <td>☐</td> <td>☐</td> <td>☐</td> </tr> <tr> <td>COMMODITIES</td> <td>☐</td> <td>☐</td> <td>☐</td> <td>☐</td> <td>☐</td> </tr> <tr> <td>FUTURES</td> <td>☐</td> <td>☐</td> <td>☐</td> <td>☐</td> <td>☐</td> </tr> <tr> <td>OPTIONS</td> <td>☐</td> <td>☐</td> <td>☐</td> <td>☐</td> <td>☐</td> </tr> <tr> <td>CRYPTOCURRENCIES</td> <td>☐</td> <td>☐</td> <td>☐</td> <td>☐</td> <td>☐</td> </tr> </tbody> </table>			NONE	LESS THAN 1 YEAR	1 - 5 YEARS	6 - 10 YEARS	MORE THAN 10 YEARS	STOCKS	☐	☐	☐	☐	☐	BONDS	☐	☐	☐	☐	☐	MUTUAL FUNDS	☐	☐	☐	☐	☐	COMMODITIES	☐	☐	☐	☐	☐	FUTURES	☐	☐	☐	☐	☐	OPTIONS	☐	☐	☐	☐	☐	CRYPTOCURRENCIES	☐	☐	☐	☐	☐
	NONE	LESS THAN 1 YEAR	1 - 5 YEARS	6 - 10 YEARS	MORE THAN 10 YEARS																																												
STOCKS	☐	☐	☐	☐	☐																																												
BONDS	☐	☐	☐	☐	☐																																												
MUTUAL FUNDS	☐	☐	☐	☐	☐																																												
COMMODITIES	☐	☐	☐	☐	☐																																												
FUTURES	☐	☐	☐	☐	☐																																												
OPTIONS	☐	☐	☐	☐	☐																																												
CRYPTOCURRENCIES	☐	☐	☐	☐	☐																																												
Investment Goals <i>(Please check appropriate box)</i> <table border="1"> <tbody> <tr> <td>RISK TOLERANCE</td> <td>☐ Aggressive ☐ Moderate ☐ Conservative</td> </tr> <tr> <td>INVESTMENT OBJECTIVE</td> <td>☐ Capital Gains ☐ Income</td> </tr> </tbody> </table>		RISK TOLERANCE	☐ Aggressive ☐ Moderate ☐ Conservative	INVESTMENT OBJECTIVE	☐ Capital Gains ☐ Income																																												
RISK TOLERANCE	☐ Aggressive ☐ Moderate ☐ Conservative																																																
INVESTMENT OBJECTIVE	☐ Capital Gains ☐ Income																																																

ACCOUNT APPLICATION
PRIMARY ACCOUNT HOLDER INFORMATION
Financial and Investment Profile

 Currency preferred for the succeeding items: ☐ USD ☐ EUR ☐ Other (Please specify) _____

Annual income from all sources (Exclude income from spouse)

- ☐ Below \$25,000 ☐ \$100,000 – \$199,999 ☐ \$350,000 – \$499,999
☐ \$25,000 – \$99,999 ☐ \$200,000 – \$349,999 ☐ \$500,000 & above

Liquid net worth (Exclude the value of your residence and other non-liquid assets)

- ☐ Below \$25,000 ☐ \$100,000 – \$199,999 ☐ \$350,000 – \$499,999
☐ \$25,000 – \$99,999 ☐ \$200,000 – \$349,999 ☐ \$500,000 & above

Total net value of all assets (Exclude the value of your residence and other non-liquid assets)

- ☐ Below \$25,000 ☐ \$100,000 – \$199,999 ☐ \$350,000 – \$499,999
☐ \$25,000 – \$99,999 ☐ \$200,000 – \$349,999 ☐ \$500,000 & above

 Primary source of income ☐ Salary ☐ Investment ☐ Retirement

 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 (Please specify) _____ ☐ No

Are you 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 of close associate of such person?

☐ Yes ☐ No

Name of Broker/Dealer(s) where you have had Securities Accounts in the last 5 years:

Name of FCM(s) where you have had Future Accounts in the last 5 years:

SECONDARY ACCOUNT HOLDER INFORMATION
Financial and Investment Profile

 Currency preferred for the succeeding items: ☐ USD ☐ EUR ☐ Other (Please specify) _____

Annual income from all sources (Exclude income from spouse)

- ☐ Below \$25,000 ☐ \$100,000 – \$199,999 ☐ \$350,000 – \$499,999
☐ \$25,000 – \$99,999 ☐ \$200,000 – \$349,999 ☐ \$500,000 & above

Liquid net worth (Exclude the value of your residence and other non-liquid assets)

- ☐ Below \$25,000 ☐ \$100,000 – \$199,999 ☐ \$350,000 – \$499,999
☐ \$25,000 – \$99,999 ☐ \$200,000 – \$349,999 ☐ \$500,000 & above

Total net value of all assets (Exclude the value of your residence and other non-liquid assets)

- ☐ Below \$25,000 ☐ \$100,000 – \$199,999 ☐ \$350,000 – \$499,999
☐ \$25,000 – \$99,999 ☐ \$200,000 – \$349,999 ☐ \$500,000 & above

 Primary source of income ☐ Salary ☐ Investment ☐ Retirement

 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 (Please specify) _____ ☐ No

Are you 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 of close associate of such person?

☐ Yes ☐ No

Name of Broker/Dealer(s) where you have had Securities Accounts in the last 5 years:

Name of FCM(s) where you have had Future Accounts in the last 5 years:

ACCOUNT APPLICATION**AGREEMENT**

- I. Contained in this agreement are the terms applicable to the account owner named on this account application (client) for purchasing and selling of stocks, bonds, services and private placements by **Apex Capital LLC**.
- II. Transactions made on behalf of the client are subject to regulations, rules, by-laws, constitution, and normal industry practice relating to the exchanges/clearing houses. Client acknowledges that securities will fluctuate in value depending upon market conditions.
- III. Instruction from client will be whether verbal or written concerning transactions that **Apex Capital LLC** will carry out on behalf of client.
- IV. All written correspondences to client shall be accepted as accurate, unless written objection is immediate, or not longer than 3 working days from initial receipt, sent to **Apex Capital LLC** by electronic mail. All confirmations of trading transactions will be sent by fax or electronic mail (email). Ordinary correspondence will be sent by electronic mail (email). Any change of client's mailing address must be notified to **Apex Capital LLC** in writing. Currency "Slip" notices (buy/sell order or trade confirmation) are quoted in the currency applicable to country where the shares are traded.
- V. **Apex Capital LLC** is not responsible in any way for any losses and/or damages suffered by exchange rate fluctuations.
- VI. The "trading account- Client Agreement" can be terminated by **Apex Capital LLC** or client within thirty days period in writing only with the commencement date the receiving time of the written notice by the party causing/ requesting the termination. When such period is expired, **Apex Capital LLC** has obligation to send client any proceeds of sales made under "best effort" situation, or actual certificates.

PRINTED NAME & SIGNATURE
(Primary Account Holder)PRINTED NAME & SIGNATURE
(Secondary Account Holder –If Applicable)**DISCLOSURE POLICY**

The non-public personal information we collect about you comes primarily from this account application or other forms you submit to us. We do not disclose your information to anyone, except as permitted by law. All client information will be treated in strictest confidence. It may only include disclosing your information pursuant to your express consent, to fulfill your instructions, or to comply with applicable laws and regulations. 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 is terminated, we will continue to treat the information as stated herein.

APEX CAPITAL LLCOn Building
158-164 Queen's Road Central,
Central,
Hong Kong+852 5801 0242
clientservices@apexcapitalllc.co
www.apexcapitalllc.co