

Aaron Brett Account Opening Form

(Please complete using black ink in block capital)

Corporate Joint Individual

Primary Holder

Corporate Account Name (If applicable)	
First Name /Surname	
Street Address /City(including zip code)	
Date of birth /Country	
Tel No. / Work Tel No.	
Mobile no./Alternative number	
Fax No. / Work Fax No.	
E-mail Address /Secondary E-mail Address	
Name of Employer /Function(Occupation)	

Joint Account (If applicable)

First Name	Surname
Street Address	City(Including zip code)
Date of birth	Country
Tel. No	Fax. No
Relationship to Primary Holder	Years known Primary Holder

INVESTMENT BACKGROUND

Commodity Options	Commodity Funds	Stocks	Bonds	Futures	Others
<input type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> YES
<input type="checkbox"/> No	<input type="checkbox"/> No	<input type="checkbox"/> No	<input type="checkbox"/> No	<input type="checkbox"/> No	<input type="checkbox"/> No
No. of years...	No. of years...	No. of years...	No. of years...	No. of years...	No. of years...

OCCUPATION (last 12 months) - Primary Holder Applicable

<input type="radio"/> Company/Private Sector/Executive Management/Board	<input type="radio"/> Public Sector/State
<input type="radio"/> Company/Other	
<input type="radio"/> Executive Management/Board/Public Sector/State ¹	<input type="radio"/> Private company
<input type="radio"/> Public Office/ Political ²	<input type="radio"/> Self Employed
<input type="radio"/> Student	<input type="radio"/> Unemployed <input type="radio"/> Retired

¹ Executive Management/Board/Public Sector/State includes:
 Members of the administrative, Management or Supervisory bodies of any State owned enterprise

² Public Office/ Political includes:
 Heads of State and Government Ministers and Deputy Assistant Ministers, Members of Parliament, Member of Supreme or Constitutional courts

CLIENT FINANCIAL DETAILS

<u>Annual Income</u>	<u>Liquid Net Worth</u>	<u>Total Net Worth</u>	<u>Current Banking Information</u>
<input type="checkbox"/> \$25,000 - \$49,000	<input type="checkbox"/> \$25,000 - \$49,000	<input type="checkbox"/> \$25,000 - \$49,000	Bank.....
<input type="checkbox"/> \$50,000 - \$99,000	<input type="checkbox"/> \$50,000 - \$99,000	<input type="checkbox"/> \$50,000 - \$99,000	City.....
<input type="checkbox"/> \$100,000 - \$249,000	<input type="checkbox"/> \$100,000 - \$249,000	<input type="checkbox"/> \$100,000 - \$249,000	Currency.....
<input type="checkbox"/> \$250,000 - \$499,000	<input type="checkbox"/> \$250,000 - \$499,000	<input type="checkbox"/> \$250,000 - \$499,000	
<input type="checkbox"/> \$500,000 - \$999,000	<input type="checkbox"/> \$500,000 - \$999,000	<input type="checkbox"/> \$500,000 - \$999,000	
<input type="checkbox"/> Over \$1,000,000	<input type="checkbox"/> Over \$1,000,000	<input type="checkbox"/> Over \$1,000,000	

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 Aaron Brett, 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, be completed.

3. Delivery - You shall upon notice of the company, deliver all documents and any funds 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 entirely on 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 terminations of Your Account and will continue to apply to any disputed or other remaining matter 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. Electronic Transaction Confirmations and Account Statements

(A) 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 our receipt of Your confirmation. We are entitled to treat the Terms of the Confirmation as accurate and conclusive unless You object within two (2) days 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. Cashing out Your securities - You may place Your sell order of any securities purchased with Us, either verbally or in a written form. Upon receiving Your selling instruction, We are obliged to execute Your request within 2 hours. The cashed-out capital will be deposited into a bank account designated by You within 3 to 5 working days.

14. 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 ten (10) days after receipt of such notice shall represent Your acceptance of such terms.

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

16. Authorized Signatures - 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.

By signing and submitting this form I/We acknowledge that I have read, understood and agreed to all the terms and conditions put forward and presented by Aaron Brett (www.aaronbrett.com).

A. Primary Account Holder	B. Joint Account Holder (if applicable)
Signature Date	Signature Date



Vertical Square, 28 Heung Yip Road,
Wong Chuk Hang,
Hong Kong