



We would like to Welcome you to Remy Investments . As part of our growing list of clients , you will have access to a complete range of investment services and products including an extensive selection of mutual funds, financial planning and investment advice.

ACCOUNT APPLICATION



**COMPLETE INVESTMENT
ACCOUNT APPLICATION**

IMPORTANT INFORMATION ABOUT PROCEDURE FOR OPENING A NEW ACCOUNT

To help governments fight the funding of terrorism and money laundering activities, International Law requires all financial institutions to obtain, verify and record information that identifies each person that opens an account. What this means for you: When you open an account, we will ask for your name, address, date of birth and other information that will allow us to identify you. We will also need you to provide a government issued picture ID and a copy of a recent utility bill.

1. ACCOUNT TYPE

<input type="checkbox"/> Individual Account One person owns the account.	Joint Account (Choose only one): <input type="checkbox"/> Rights of Survivorship If one owner dies, his/her interest passes to surviving owners. <input type="checkbox"/> Community Property Equal ownership for married couples.	<input type="checkbox"/> Custodial Account Established by an adult for the benefit of a minor; cash account only. An account can have only one custodian.
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SECURITIES INDUSTRY REGULATIONS REQUIRE THAT WE COLLECT ALL OF THE FOLLOWING INFORMATION.

Primary Account Owner (or minor if custodial account)	Co-Account Owner (If applicable) (or custodian if custodial account)
<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Dr.	<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Dr.
Name:	Name
Home Street Address:	Home Street Address
City, State, ZIP	City, State, ZIP

2. ACCOUNT OWNER INFORMATION

Country Code	Home Phone	Country Code	Business Phone	Country Code	Home Phone	Country Code	Business Phone
E-Mail Address:				E-Mail Address:			
Date of Birth (mm/dd/yyyy)				Date of Birth (mm/dd/yyyy)			
Employment Status <input type="checkbox"/> Employed <input type="checkbox"/> Self-employed* <input type="checkbox"/> Retired <input type="checkbox"/> Student <input type="checkbox"/> Not Employed				Employment Status <input type="checkbox"/> Employed <input type="checkbox"/> Self-employed* <input type="checkbox"/> Retired <input type="checkbox"/> Student <input type="checkbox"/> Not Employed			
Employer		Specific Occupation		Employer		Specific Occupation	
Business Street Address				Business Street Address			
City, State, ZIP				City, State, ZIP			

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Primary Account Owner (or minor if custodial account)	Co -Account Owner, If Applicable (or custodian if custodial account)
Are you employed by a registered broker-dealer, a securities exchange? <input type="checkbox"/> No <input type="checkbox"/> Yes (you must submit a compliance letter with this application)	Are you employed by a registered broker-dealer, a securities exchange? <input type="checkbox"/> No <input type="checkbox"/> Yes (you must submit a compliance letter with this application)
Are you an officer, director, 10% shareholder or policymaker of a publicly held company? <input type="checkbox"/> No <input type="checkbox"/> Yes (specify companies) _____	Are you an officer, director, 10% shareholder or policymaker of a publicly held company? <input type="checkbox"/> No <input type="checkbox"/> Yes (specify companies) _____
Do you have account at other brokerage firms or mutual fund companies? <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> Full <input type="checkbox"/> Discount (traditional) Commission	Do you have account at other brokerage firms or mutual fund companies? <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> Full <input type="checkbox"/> Discount (traditional) Commission

3. YOUR INVESTMENT PROFILE

SECURITIES INDUSTRY REGULATIONS REQUIRE THAT WE COLLECT ALL OF THE FOLLOWING INFORMATION. FOR JOINT ACCOUNTS PLEASE INCLUDE COMBINED AMOUNTS. FOR CUSTODIAL ACCOUNTS, PLEASE COMPLETE FOR THE CUSTODIAN.

Overall Investment Objective for This Account (choose only one)	Investment Experience	Annual Income	Approximate Net Worth (excluding residence)	Approximate Liquid Net Worth (cash, stocks, etc.)
<input type="checkbox"/> Capital Preservation Minimize the potential for any loss of principal. <input type="checkbox"/> Income Provide current income rather than growth of principal. <input type="checkbox"/> Growth Increase investment value over time while accepting price fluctuations. <input type="checkbox"/> Speculation Assume the highest degree of risk for potentially higher returns.	<input type="checkbox"/> Excellent <input type="checkbox"/> Good <input type="checkbox"/> Limited <input type="checkbox"/> None	<input type="checkbox"/> \$200,000+ <input type="checkbox"/> \$100,000 - \$199,999 <input type="checkbox"/> \$50,000 - \$99,999 <input type="checkbox"/> \$25,000 - \$49,999 <input type="checkbox"/> \$15,000 - \$24,999 <input type="checkbox"/> \$0 - \$14,999	<input type="checkbox"/> \$1,000,000+ <input type="checkbox"/> \$500,000 - \$999,999 <input type="checkbox"/> \$100,000 - \$499,999 <input type="checkbox"/> \$50,000 - \$99,999 <input type="checkbox"/> \$25,000 - \$49,999 <input type="checkbox"/> \$0 - \$24,999	<input type="checkbox"/> \$1,000,000+ <input type="checkbox"/> \$500,000 - \$999,999 <input type="checkbox"/> \$200,000 - \$499,999 <input type="checkbox"/> \$100,000 - \$199,999 <input type="checkbox"/> \$50,000 - \$99,999 <input type="checkbox"/> \$25,000 - \$49,999 <input type="checkbox"/> \$15,000 - \$24,999 <input type="checkbox"/> \$0 - \$14,999

Where will the assets to fund this account primarily come from (choose only one)?

- | | |
|---|---|
| <input type="checkbox"/> Securities
<input type="checkbox"/> Personal Funds
<input type="checkbox"/> Real Estate Proceeds
<input type="checkbox"/> Income from Earnings
<input type="checkbox"/> Other (please specify) _____ | <input type="checkbox"/> Insurance Proceeds
<input type="checkbox"/> Inheritance / Gift
<input type="checkbox"/> Pension / IRA / Retirement Savings |
|---|---|

How often do you trade?

- ☐ 0-3 trades per month
☐ 4-9 trades per month
☐ 10+ trades per month

What is the purpose and expected use of the account (choose only one)?

- | | |
|--|---|
| <input type="checkbox"/> Investment account with transfers for expenses
<input type="checkbox"/> Professional asset management
If other (please specify) _____ | <input type="checkbox"/> Long term investment-occasional transfers for expenses
<input type="checkbox"/> Savings for retirement <input type="checkbox"/> Other |
|--|---|

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SIGN AND DATE APPLICATION

I acknowledge that I have received, read, and agree to the terms and conditions as currently set forth by Remy Investments

understand that you will supply my name to issuers of any securities held in my account so that I might receive any important information from the issuers regarding the securities, unless I notify you in writing not to do so.

I acknowledge that I have been informed that securities products, such as stocks, bonds, options, mutual funds, and exchange-traded funds and other securities products and services offered by Remy Investments carry risk and that I am not guaranteed a return on my investment.

Signature of Primary Account Owner	Date

Signature of Co-Account Owner	Date

Print Name	

Print Name	

If this is a custodial account, we DO NOT require the minor's signature. An application signed by a minor will cause a processing delay.

Remy Investments maintains the highest standards of confidentiality and respect of privacy of client administering safeguards that are designed to relationships. All information disclosed in this account application form will not be disclosed to anyone, except as permitted by law, compliance to regulations or pursuant to client's consent to fulfill specific instructions. We limit access to your information to those of our employees and service providers who are involved in offering or comply with federal standards to guard your information.

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Remy Investments Terms Of Service

- i. **ACCOUNT STATUS:** Remy Investments agrees to accept and maintain for the undersigned customer one or more accounts and act as a broker or dealer on behalf of the Customer concerning execution and clearance of orders for transactions involving the purchase and sale of financial securities. The customer hereby confirms that all responses made in connection with the Account Agreement are complete and correct and that the customer/ customers requesting to open an account are of legal age and sound mind. Unless otherwise indicated in the Customer Application, no one except the customer(s) identified in the Account Application have an interest in the account (s). In any event, this Customer Agreement and the account (s) permitted hereunder become effective only upon acceptance by an authorized representative of Remy Investments at its principal office.
- ii. **DEBIT BALANCES:** All Monies, Securities, Trading Instruments, and any open positions in Option Contracts, Margins, Premiums now or at any time during the future being held or safe kept by Remy Investments shall constitute as security as part of the customer 's legal obligations . In the event that the Customer has borrowed funds to purchase on a margin account and is unable to promptly settle the deficit within a timely manner, the Customer hereby grants Remy Investments the authorization to offset and/or liquidate such assets being held in order to resolve outstanding debt balances.
- iii. **COMMISSIONS , FEES AND OTHER COSTS:** The Customer hereby agrees to pay all commission fees encountered when purchasing and offsetting positions acquired through his/her representative on behalf of Remy Investments. The Commission Fee is set at a standard rate of 1% when purchasing and 1% when offsetting. The Customer also acknowledges that any bank charges suffered when purchasing or offsetting positions through his/her representative shall be the sole obligation of the Customer.
- iv. **EXCHANGE RULES:** All transactions handled by Remy Investments , on behalf of the customer , shall be subject to the constitution, regulations, customs, and interpretations of each financial exchange or market (along with its clearing house, if any) on which the rates are executed and to all international governmental regulations. Remy Investments shall not be liable to the Customer for any action taken in order to comply with such rules.

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- vi. **CALL RECORDING** : The Customer hereby authorizes Remy Investments to record telephone conversations between the Customer and Remy Investments regardless of whether a periodic tone signal is used . The Customer consents to the use of such recordings in any forum in connection with resolving disputes.
- vii. **AMENDMENTS AND GUARANTEES** : This Agreement hereof reflects the entire agreement between Remy Investments and the Customer and supersedes all prior oral and written agreements between the parties relating to the subject matter and no provisions in any respect shall be waived, augmented, or modified by any other party unless in writing and has been signed off by an appointed representative of Remy Investments legal department . No one (including Remy Investments Associated Persons, Introducing Brokers, Fund Managers, Commodity Trading Advisors, or Pool Operators) can guarantee profits or the absence of losses. The Customer needs to promptly notify Remy Investments compliance department if any such guarantee is suggested.
- viii. **TERMINATION** : This Agreement may be terminated by Remy Investments or the Customer immediately upon written notice to the other party. In the event of such termination, the Customer must immediately liquidate all remaining positions in their Account (s) or transfer such open commodity interest positions to another IB. Notwithstanding any termination , the Customer shall satisfy all liabilities to Remy Investments arising hereunder (including but not limited to the payment of applicable debit balances , commission , and fees, including fees with respect to the transfer of positions to another IB). This Agreement shall be binding upon Customer's personal representatives and legal successors and shall inure to the benefit of Remy Investments successors by merger, assignment, or consolidation . In the event of the Customer's bankruptcy proceedings, death, incompetence, dissolution, or failure to provide adequate margin, Remy Investments is authorized to terminate the account with prior notice to the Customer. The termination of this Agreement shall not affect the obligations of the parties arising from transactions entered into prior to such termination . Remy Investments reserves the right to terminate a Customer account at any time for any reason.
- ix. **CONSENT TO JURISDICTION** : The Customer agrees that all disputes, claims, actions, or proceedings arising directly, indirectly, or otherwise in connection with, out related to, or from this Agreement shall be arbitrated only in an arbitration forum agreed with Remy Investments. The Customer consents and submits to the jurisdiction of any international court.
- x. **EMAIL EXECUTION** : Remy Investments accepts documents signed and transmitted by email as original documents . The signature of any person or entity thereon is to be considered as an original signature, and the documents transmitted are to be considered to have the same binding effect as an original signature on an original document . At the request of Remy Investments, any document sent by email must be re-executed in original form by the persons or entities who executed the email document . No party hereby may raise the use of an email document as a defense to the enforcement of this Agreement or any amendment or other documents executed in compliance with this section.