

Account Holder's First name

Account Holder's Middle Name

Account Holder's last Name

Gender

- ☐ Male
☐ Female

Date of birth

Account catagory

- ☐ Individual ☐ Joint ☐ Trust ☐ Corporate

2nd Account Holder's Name

2nd Account Holder's Last Name

Father's first Name

Father's last Name

Mother's first Name

Mother's last Name

Place of birth

Nationality

Ethnicity

No. of Children

Residence Status

- ☐ Resident
☐ Non-Resident

Religion

TIN No.

ID No.

Passport No.

Driving License No.

Primary Holder Address

Country

Work Phone

City

Home Phone

Mobile

State

Email

Secondary Holder Address

Country

Work Phone

City

Home Phone

Mobile

State

Email

Annual income

- ☐ \$25,000 and under
☐ \$25,001 - \$50,000
☐ \$50,001 - \$100,000
☐ \$100,001 - \$250,000
☐ \$250,001 - \$500,000
☐ Over \$500,000

Net Worth (Excluding Residencies)

- ☐ \$25,000 and under
☐ \$25,001 - \$50,000
☐ \$50,001 - \$200,000
☐ \$200,001 - \$500,000
☐ \$500,001 - \$1,000,000
☐ \$1m - \$3m
☐ Over \$3,000,000

Liquid Net Worth

- ☐ \$25,000 and under
☐ \$25,001 - \$50,000
☐ \$50,001 - \$200,000
☐ \$200,001 - \$500,000
☐ \$500,001 - \$1,000,000
☐ \$1m - \$3m
☐ Over \$3,000,000

Employment Status

- ☐ Self-employment/Own business
☐ Employee
☐ Retired
☐ Student
☐ Home Maker
☐ Other

☐ Cryptocurrency Net Worth

Bitcoin

Ethereum

Ripple

Bitcoin Gold

Bitcoin Cash

1. What is your Age?

- ☐ a. I am < 64 years old
☐ b. I am between 64-80
☐ c. I am 80 or over

2. What percentage of your liquid net worth will you be investing through services provided by Union Wealth ? Your liquid net worth is defined as the sum of (a) your investment assets (include current accounts, savings and investments held within or outside but exclude your home(s) and businesses that you own) minus (b) your total of any loans that you may have.

- ☐ a. Less than 25% ☐ Between 50% and 75%
☐ b. Between 25% and 50% ☐ Between 75% and 100%

3. Considering your expected regular income and your annual spending, to what extent do you expect to rely on your investments in this relationship to fund spending this year?

- ☐ a. Not at all. I expect to have adequate income generated from other sources - e.g. employment, business, etc. -to cover my expected spending this year.
☐ b. I am relying on 25% or more of my invested capital to fund my expected spending this year.
☐ c. I am relying on 50% or more of my invested capital to fund my expected spending this year.

4. Typical Portfolio Allocation

- ☐ a. Safety - My primary objective is the protection of my capital and I expect interest income in line with short- term money market rates.
☐ b. Defensive - I seek to maintain the value of my portfolio over the medium term and generate regular income returns above short-term money market rates.
☐ c. Income Oriented - I seek primarily a regular stream of income returns and also some capital appreciation as a secondary consideration.
☐ d. Growth & Income - I seek a balance of regular income returns and capital appreciation
☐ e. Growth Oriented - I seek predominantly capital growth over time and also some regular income returns as a secondary consideration.
☐ f. Growth - I seek only capital appreciation over time and I do not seek any regular income from my investments.
☐ g. Trading & Speculation - I seek to invest in specialist investments that may be subject to substantial fluctuations in the capital value, uncertain pricing, limited liquidity and/or lack of redemption rights.

5. Which of the following statements best describes your ability to tolerate different types of risk with your investments in the investment account in this relationship?

- ☐ a. My preference is for investments with no or negligible price movements, the ability to sell my investments at Short notice (less than a week in normal circumstances) or a promise to repay what I invested within a year.
☐ b. I can tolerate limited negative price movements on my investments and prefer investments that I can sell at short notice (less than a week in normal circumstances) for a price that is certain and close to the recent market average.
☐ c. I can tolerate moderate negative price movements on my investments and prefer investments that I can sell at short notice (less than a week in normal circumstances) for a price that is certain and close to the recent market average.
☐ d. I can tolerate investments that may suffer substantial negative price movements, have a small risk of losing their entire value, may be difficult to sell or have an uncertain price at any given time, such that I may only be able to sell at a price below the recent market average.
☐ e. I can tolerate investments that may suffer negative price movements, have a risk of losing their entire value, that maybe difficult to sell or have an uncertain value at any given time.
☐ f. I can tolerate investments that may have a high risk of losing their entire value or may even lose more than my initial investment, that may be very difficult to sell or have a highly uncertain value at any given time, or do not allow me to sell my investment over an extended period.

6. Your investment knowledge and experience is best described as follows:

- ☐ a. Limited - I have little or no knowledge of investment products outside of traditional bank savings accounts.
☐ b. Moderate - I have general knowledge and understanding of investment products, which are not traditional bank savings accounts and the related risks.
☐ c. Extensive - I have extensive knowledge and understanding of investment products in general and I am an active and experienced investor comfortable making my own investment decisions.

Mutual Funds

I have Knowledge & Experience in this product area based on past investment experience/education/ professional knowledge/other external source.

☐ Yes

☐ No

Bonds

I have Knowledge & Experience in this product area based on past investment experience/education/ professional knowledge/other external source.

☐ Yes

☐ No

Commodities

I have Knowledge & Experience in this product area based on past investment experience/education/ professional knowledge/other external source.

☐ Yes

☐ No

Equities

I have Knowledge & Experience in this product area based on past investment experience/education/ professional knowledge/other external source.

☐ Yes

☐ No

I/We confirm that I/We am/are not a US Citizen/Citizens. I/We shall keep Union Wealth informed in case of a conversion in the status of my/our Citizenship Status.

For Joint account holders only – I do hereby confirm that I have express approval of the other account holder to sign on the risk profiling form to acknowledge the risk profile. I am aware that the risk profile and K&E pertaining to my account is applicable and binding on all holders of this account. Please tick the box to confirm you have agreed to the above terms. *

☐ I agree

TERMS & CONDITIONS: THE FOLLOWING IS A LEGALLY BINDING CONTRACT BETWEEN YOU AND US AND GOVERNS YOUR RELATIONSHIP WITH US BY CONDUCTING TRANSACTION WITH US, YOU ARE ACCEPTING AND AGREEING TO ABIDE BY ALL OF THE TERMS AND CONDITIONS:

- 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 at any time. All references to "We", "Us" or "Our" shall refer to Union Wealth, its employees, officers and directors.
- 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, can be completed.
- Delivery.** You shall upon notice of the company, deliver all documents and any monies necessary to complete the purchase or sale to be executed by us as authorized and instructed by you.
- 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.
- Currencies.** US Dollars will be used for all trade transactions unless otherwise agreed and set forth in the confirmation order.
- 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.
- 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.
- Risk.** You understand that all purchases of investments involve risk and may not be suitable to all purchasers. Losses may be my entire principal of 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.
- 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.
- 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.
- 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 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 to you as instructed by you.
- 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 my receipt of your confirmation. We are entitled to treat the Terms of the Confirmation as accurate and conclusive unless you object within two (2) day 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. *

☐ I agree

Client full name

Date

Client Signature