



Strathaven Holdings Limited

# ACCOUNT APPLICATION FORM

ACCOUNT NO: \_\_\_\_\_

INDIVIDUAL     JOINT     CORPORATE

## PRIMARY ACCOUNT HOLDER INFORMATION

Mr.  Mrs.  Miss  Others (Please Specify) \_\_\_\_\_

First Name \_\_\_\_\_

Middle Name \_\_\_\_\_

Last Name \_\_\_\_\_

Please check your preferred address for all *Strathaven Holdings Limited* legal documents and shares registration.

Home Address     Company Address

Company Name (Please indicate if you checked Company Address)

\_\_\_\_\_

Street Name and Number \_\_\_\_\_

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  Others (Please Specify) \_\_\_\_\_

First Name \_\_\_\_\_

Middle Name \_\_\_\_\_

Last Name \_\_\_\_\_

Please check your preferred address for all *Strathaven Holdings Limited* legal documents and shares registration.

Home Address     Company Address

Company Name (Please indicate if you checked Company Address)

\_\_\_\_\_

Street Name and Number \_\_\_\_\_

Town/District \_\_\_\_\_

City \_\_\_\_\_

Post Code \_\_\_\_\_

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#### STRATHAVEN HOLDINGS LIMITED

Ardmore House  
40-42 George Street  
Edinburgh  
EH2 2LE  
United Kingdom

+44 204 525 4634

#### BVI HEADQUARTERS

Road Town  
Tortola  
British Virgin Islands

[clientservices@shltduk.com](mailto:clientservices@shltduk.com)  
[www.shltduk.com](http://www.shltduk.com)

UK REGISTRATION NO. OE021051



Strathaven Holdings Limited

# ACCOUNT APPLICATION FORM

## PRIMARY 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  Separated

Widowed  Divorced

**Employment Status:**

Self Employed  Employed  Company Owner

Retired  Not Employed

Primary Occupation \_\_\_\_\_

**TRADING EXPERIENCE** (Please tick the appropriate selection)

	NONE	LESS THAN 1 YEAR	1-5 YEARS	6-10 YEARS	MORE THAN 10 YEARS
Stocks	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Bonds	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Mutual Funds	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Commodities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Futures	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Options	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Cryptocurrencies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**INVESTMENT GOALS** (PLEASE CHECK APPROPRIATE BOX)

RISK TOLERANCE	Aggressive	Moderate	Conservative
INVESTMENT OBJECTIVE	<input type="radio"/> Capital Gains	<input type="radio"/> Income	<input type="radio"/>
	<input type="radio"/>	<input type="radio"/>	

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Place of Birth \_\_\_\_\_

Nationality \_\_\_\_\_

Country of Citizenship \_\_\_\_\_

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Cryptocurrencies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

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# ACCOUNT APPLICATION FORM

## PRIMARY ACCOUNT HOLDER INFORMATION

### 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

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

### 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

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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:

## FINANCIAL INVESTMENT PROFILE

Currency preferred for the succeeding items:  USD  EUR  If others, please specify \_\_\_\_\_

## 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. If our relationship is terminated, we will continue to treat the information as stated herein. 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.

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## A G R E E M E N T

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 **Strathaven Holdings Limited**.

Transactions made on behalf of the client are subject to regulations, rules, by-laws, constitution, and normal industry practices relating to the exchanges/clearing houses. Client acknowledges that securities will fluctuate in value depending on the market conditions. Instruction from client will be either verbal or written concerning transactions that **Strathaven Holdings Limited** will carry out on behalf of client.

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 **Strathaven Holdings Limited** by electronic mail. All confirmations of trading transactions and ordinary correspondences will be sent by electronic mail. Any change of client's mailing address must be notified to **Strathaven Holdings Limited** in writing. Currency "Slip" notices (buy/sell order or trade confirmation) are quoted in the currency applicable to country where the shares are traded.

**Strathaven Holdings Limited** is not responsible in any way for any losses and/or damages suffered by exchange rate and or market fluctuations.

The "trading account- Client Agreement" can be terminated by **Strathaven Holdings Limited** or client within thirty days period in writing only within the commencement date and the receiving time of the written notice by the party causing/ requesting the termination. **Strathaven Holdings Limited** has the obligation to send client any proceeds of sales made under "best effort" situation, or actual certificates.

**Approval Of Transactions.** All transactions as agreed to with your account representative are deemed to be final. All transactions receive the approval of the compliance officer and consent of the Account Holder prior to being processed.

**Commissions, Fees & Other Costs.** Account Holder(s) agrees to commissions, fees and other costs charged by **Strathaven Holdings Limited**. A commission of 1% on the buy and 1% commission on the sell. There are no fees on transferring assets out of the account. Furthermore, **Strathaven Holdings Limited** is authorized to convert funds in Account Holder's account(s) into and from the relevant foreign currency at the rate of exchange plus appropriate fees, obtained from **Strathaven Holdings Limited**.

**Tape Recording.** You hereby authorise **Strathaven Holdings Limited** to record telephone conversations between Account Holder(s) and **Strathaven Holdings Limited** regardless of whether a periodic tone signal is used. You consent to the use of such tape recording in any forum in connection with resolving disputes.

**Verbal Authorization.** **Strathaven Holdings Limited** may execute any transaction upon verbal authorization by the Account Holder(s) on any market (public or private) where such business is transacted. Account Holder(s) understands that **Strathaven Holdings Limited** does not provide Account Holder(s) with direct access to the marketplace. Account Holder(s) understands, whether Account Holder(s) places an order, Account Holder(s) will receive the price at which the order is quoted to Account Holder(s). However, particularly during periods of high volume, liquidity, fast movement or volatility in the marketplace, or the placement of large orders, the execution price Account Holder(s) receives may differ from the quote published at the time of order entry, and Account Holder(s) may receive partial executions at different prices.

**Debit Balances.** All monies, securities, negotiable instruments, open positions in contracts, options premiums, commodities or other property now or at any future time on deposit or in safekeeping with **Strathaven Holdings Limited**, shall constitute security for Account Holder's obligations hereunder and Account Holder(s) grants **Strathaven Holdings Limited** the right to sell or use such security to offset and credit any of those obligations not promptly paid. Account Holder(s) understands that Account Holder is liable to **Strathaven Holdings Limited** for any deficit ("debit") balance in the account(s) remaining after any such offset. If Account Holder(s) does not promptly pay a debit in Account Holder's account(s) and **Strathaven Holdings Limited** deems it necessary to take collection action, Account Holder(s) will not hold **Strathaven Holdings Limited** for any losses. Account Holder will be liable for expenses and held accountable to **Strathaven Holdings Limited** for the debt and all costs incurred, including reasonable attorney's fees in connection with such collection actions.

**Margin.** The Account Holder(s) acknowledges that he/she is borrowing money from the value of the securities that are held within his/her account and that Account Holder(s) understands the requirements and risks associated with margin.

### I Hereby Acknowledge That I Have Read and Understand This Agreement Statement.

By signing this Account Application form, I acknowledge that I have received and read a copy of the attached Account Agreement. I acknowledge that this Account and my relationship with **Strathaven Holdings Limited** will be governed by the Account Agreement and all incorporated agreements and disclosures, including but not limited to the Account Agreement. I understand fees are associated with buying and selling and transferring assets out of this Account. I also acknowledge that if I trade "on" margin", I am borrowing money from the value of the securities that are held within my account and that I understand the requirements and risks associated with margin. I also acknowledge that **Strathaven Holdings Limited** is relying on this information in approving my account and extending my credit and that all such information is true and correct.

PRINTED NAME & SIGNATURE  
(Primary Account Holder)

DATE:

PRINTED NAME & SIGNATURE  
(Secondary Account Holder)

DATE:

VERIFIED BY:

Compliance Officer  
Accounts Department  
**Strathaven Holdings Limited**

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