



Two International Finance Centre,
8 Finance Street Central,
100614,
Hong Kong S.A.R.

Telephone: +852 5803 9586
Facsimile: +852 3010 3812

EMAIL – contact@dodson-norwood.com
WWW – www.dodson-norwood.com

Dodson Norwood Account Opening Form

Complete all sections below. We respect your privacy. Dodson Norwood will use the information you provide to open and service your accounts, communicate with you and provide information about products and services.

Please read the Dodson Norwood Client Agreement on page 2. As required by securities regulations Dodson Norwood will use the information provided below to verify your identity.

Account Type (please select only one):

Individual **Joint** **Corporate**

Corporate (if applicable):

Company Name

Account Holder:

Surname	
First Name/s	
Home/Legal Street Address	
City, State, Zip Code	
Country	Date of Birth
Home Telephone Number	
Business Telephone Number	
Cellular Telephone Number	
Email Address/es	
Are you known by any other name? Specify:	
Country/ies of Citizenship	

Additional Account Holder (if applicable):

Surname	
First Name/s	
Home/Legal Street Address	
City, State, Zip Code	
Country	Date of Birth
Home Telephone Number	
Business Telephone Number	
Cellular Telephone Number	
Email Address/es	
Are you known by any other name? Specify:	
Country/ies of Citizenship	

Industry regulations require that we collect the following information:

Employer	Occupation/Position
Business Address	
Are you affiliated with or employed by a stock exchange or member firm of an exchange, or a municipal securities broker-dealer? <input type="checkbox"/> YES <input type="checkbox"/> NO	
Are you a director, 10% shareholder or policy-making officer of a publicly held company? <input type="checkbox"/> YES <input type="checkbox"/> NO "If YES, please state company name and trading symbol:"	
Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Divorced <input type="checkbox"/> Widow/er	Number of dependents

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Annual Income <input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Good <input type="checkbox"/> Extensive	Liquid Net Worth (US\$) <input type="checkbox"/> Under \$25,000 <input type="checkbox"/> \$25,000 - \$99,000 <input type="checkbox"/> \$100,000 - \$249,000 <input type="checkbox"/> \$250,000 - \$499,000 <input type="checkbox"/> \$500,000 - \$999,000 <input type="checkbox"/> Over \$1,000,000	Total Net Worth (US\$) <input type="checkbox"/> Under \$25,000 <input type="checkbox"/> \$25,000 - \$99,000 <input type="checkbox"/> \$100,000 - \$249,000 <input type="checkbox"/> \$250,000 - \$499,000 <input type="checkbox"/> \$500,000 - \$999,000 <input type="checkbox"/> Over \$1,000,000
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Current banking information:	Bank	City	Currency
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IMPORTANT: You also acknowledge that the securities products purchased or sold in a transaction with Dodson Norwood (i) are not insured by the Federal Deposit Insurance Corporation ("FDIC"); (ii) are not deposits or other obligations of Dodson Norwood and are not guaranteed by Dodson Norwood; and (iii) are subject to investment risks, including possible loss of the principal invested.

For purposes of this Account Application and the Application Agreement, the terms "you," "your" and "Account Holder" refer to each person who signs this Account Application. The terms "we," "us," "our" and "Dodson Norwood" refer to Dodson Norwood.



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Client Agreement – Acceptance & acknowledgement of the enclosed Risk Disclosure Document is mandatory.

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKETS

This document contains important information on trading in Equities. All prospective clients should read this document before trading on Capital Markets.

We neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have We endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the contractual relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that investment in Equity shares have varying element of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and/or low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade with Us and suffer adverse consequences or loss, you shall be solely responsible for the same and We shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned member. The Client shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a security.

It must be clearly understood by you that your dealings with Us shall be subject to your fulfilling certain formalities set out by Us, which may inter alia include your filling the know your client form, client registration form, execution of an agreement, etc., as are in force from time to time.

We do not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with Us and/or sub-broker of Ours and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice/investment advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:

1. BASIC RISKS INVOLVED IN TRADING

1.1 Risk of Higher Volatility: Volatility refers to the dynamic changes in price that securities undergo when trading activity continues whether listed or unlisted. Generally, higher the volatility of a security, the greater is its price swings. There may be normally greater volatility in thinly traded securities than in active securities. As a result of volatility, your price at which your order is executed may substantially change thereafter, resulting in notional or real losses.

1.2 Risk of Lower Liquidity: Liquidity refers to the ability of market participants to buy and/or sell securities expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities, and as a result, investors are more likely to pay or receive a competitive price for securities purchased or sold. There may be a risk of lower liquidity in some securities as compared to active securities. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

1.3 Risk of News Announcements: Issuers and blogs make announcements that may impact the price of the securities. These announcements may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security.

1.4 Risk of Rumors: Rumors about companies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.

1.5 System Risk: High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

1.5.1 During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

1.5.2 Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security due to any action on account of unusual trading activity or for any other reason.

2. GENERAL

2.1 Commissions: A handling fee of 1% (one percent) will be levied on any transaction that We make on Your behalf. This fee of 1% is applicable to either the sale of, or the purchase of Securities.

2.2 Currencies: US Dollars will be used for all trade transactions unless otherwise agreed and set forth in the confirmation order.

2.3 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.

2.4 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.

2.5 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.

2.6 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.

By signing this Application, you acknowledge that you have received and read a copy of the Client Agreement above. You acknowledge that your signature signifies and constitutes your agreement that this Account and your relationship with Dodson Norwood will be governed by the Client Agreement.

Signature/s and Date (required)

Signature _____ Printed Name _____ Date _____

Signature _____ Printed Name _____ Date _____