



ACCOUNT APPLICATION FORM

NON-INDIVIDUAL

Use this form if you are:

- A PNG Resident Company
- An Overseas Company or other non-individual investor
- A Trustee or Investment Manager
- An Association, NGO or Government Authority
- Any other investors other than individuals

Account Application Form - Non-Individual

About this Application

Please read it carefully, as you will select products and services, tell us how you want to communicate with us, and agree to certain provisions that will govern our relationship.

When we accept it, this Application and all accompanying or supplemental documents form the entire Agreement between us for this account.

Unless otherwise indicated in this Application, the words “you”, “your”, “yourself,” and “yours” mean or refer to the applicant(s).

The words “we”, “us” and “our” mean JMP Securities Limited, Level 3, ADF Haus, Musgrave Street, PO BOX 2064, Port Moresby, National Capital District, Papua New Guinea and our branches, subsidiaries, and affiliates.



Please complete and sign this Application, along with any required supplemental forms identified through this application process. In order to complete this Application, you will need some or all of the following information:

Identification information such as a driver’s license, passport, or another type of government-issued identification, National Identity Number, Tax Identification Number, Information about your annual income, assets, debt, expenses and net worth as well as one or more trusted contact person(s) information.



The above information helps us comply with various securities regulations and rules that requires all securities firms to obtain, verify, and record information that identifies each applicant.



The information also helps us more fully understand your investment profile and identify what types of investments or strategies may be suitable for you.



Please note: if we cannot verify the information you provide, we may be required to restrict or deny your account.

Account Application Form - Non-Individual

Who Should Use This Application Form?

This is the application form for a trading account with JMP Securities Limited for the following client categories:

- Papua New Guinea Resident Companies
- Companies resident outside of Papua New Guinea
- Trustees and Investment Managers or Investment Advisers
- Associations (whether incorporated or not – for example Sporting Bodies, ILGs and other groups)
- Non-Governmental Organisations (whether incorporated or not – for example registered charities or political organisations) Government Authorities
- Any other investors, other than individuals

Who Should NOT Use This Application Form?

This **Application Form** is not the correct form for you to use in the event that you are:

- An individual person ordinarily resident outside of Papua New Guinea
- An individual person ordinarily resident in Papua New Guinea

If you are an individual person (whether ordinarily resident in Papua New Guinea or not), you should complete the "Account Application Form - Individual". You can obtain a copy of this form by contacting: enquiries@jmpmarkets.com

Account Application Form - Non-Individual

Terms & Legal

In consideration of JMP Securities Limited (herein referred to as "JMP") agreeing to open an account in the client's name (herein referred to as "the Account"), pursuant to the Application overleaf, the Account agrees to the following:

1. The Account appoints JMP as the Account's broker to buy and sell securities in accordance with the Account's instruction from time to time.
2. The constitution of PNG National Stock Exchange Limited, The Australian Stock Exchange or other Stock Exchanges (herein collectively known as PNGX), its Business Rules and Listing Rules as amended from time to time and customs and usages of PNGX form part of the agreement governing the contractual relationship between the Account and JMP and applies to all dealings and transactions in securities conducted by JMP on behalf of the Account and are binding upon the Account and JMP.
3. Without limiting the generality of the foregoing where JMP has bought or sold securities in accordance with the Account's instructions, the Account's agents and/or attorney are to execute on the Account's behalf any transfer of those securities to give effect to that transaction.
4. To issue written notification to JMP regarding any changes in the Account's details such as postal address, email address, telephone numbers, facsimile numbers and/or information used to maintain communication between the Account and JMP.
5. The Account will ensure that JMP receives payment for all securities purchased and all brokerages and duties in respect thereof before the second day (settlement date) after the purchase transaction was entered into.
6. The obligation to make payment by the settlement date is not subject to receiving the contract note.
7. JMP will have a general lien and the power of sale set out below in respect of all securities and all documents relating thereto held by JMP for any reason whatsoever for all moneys now or at any time hereafter owing by the Account to JMP for any reasons whatsoever.
If any moneys owing by the Account to JMP are not paid by settlement date then without prejudice to JMP rights under paragraph 7 hereof or under the Rules of PNGX:
 - JMP may sell any securities now or hereafter held by itself on behalf of the Account for any reason whatsoever and without being responsible for any loss occasioned thereby and may apply the proceeds in reduction of the Account's liability to JMP.
 - The Account will pay default interest on the outstanding moneys from the date of the relevant contract note until the date on which payment is received by JMP at the prevailing overdraft rate set by Bank of South Pacific Limited.
8. JMP may appropriate credits and all payments received from or on behalf of the Account or held on behalf of the Account in reduction of any moneys owing by the Account to JMP.
9. If more than one person constitutes the Account then they are jointly and severally bound by this agreement.
10. Where the Account is a limited/propriety limited company, the officers executing this agreement undertake that they:
 - will be responsible for the placing of orders;
 - will be personally responsible for the proper conduct of the Account including settlement of all transactions in accordance with the contract terms;
 - are authorised to perform these functions; and
 - will notify JMP if there are any alterations to the company structure or if their authority to place orders is cancelled or varied.
11. The Account authorises JMP to obtain shareholder information from any relevant share registry.
12. Before placing any orders the Account will be in a position to pay for any securities purchased and have control of and have available any securities sold by the Account to JMP.
13. The Account hereby authorises JMP to execute its orders using its Shareholder Reference Number/Holder Identification Number using their agents in Australia/New Zealand/Fiji or as appropriate.



Account Application Form - Non-Individual

JMP Securities Limited

Level 3, ADF Haus
Musgrave Street
PO Box 2064
Port Moresby NCD
Papua New Guinea

1. Confirm your account selection

- Individual Account** Complete ACCOUNT APPLICATION FORM – INDIVIDUAL
- Joint Account** (Multiple account holders) COMPLETE ACCOUNT APPLICATION FORM – INDIVIDUAL
- Non-Individual Account** COMPLETE ALL SECTIONS IN THIS APPLICATION FORM

2. Type of Applicant

This application is made by:

- A Company incorporated in Papua New Guinea;
- A Company incorporated outside of Papua New Guinea;
- A Trustee of a Trust or Unit Trust;
- An Investment Manager or Investment Adviser;
- An Association or a Non-Governmental Organisation (NGO);
- A Government Authority; or
- Other, *please specify:*

2. Applicant Particulars

Registered Name of Applicant:

Trading name or other identifier

Business, Company or Other Registration Number:

Investment Promotion Authority Number (if applicable):

Are you incorporated or resident in Papua New Guinea: Yes No

If No, in which country are you incorporated or resident:

4. Papua New Guinea Taxpayer Identification Number (TIN)

Do you have a Papua New Guinea TIN: Yes No

(Note although generally, only Papua New Guinea incorporated or resident entities will have a PNG TIN, it is your responsibility to ascertain whether a TIN is required in your particular circumstances)

If Yes, what is your TIN:

5. Contact Information

What is the Applicant's registered address and contact details:

Street:

Town/City:

State/Province:

PO Box #:

Postcode/Zip

Country:

Telephone:

Website/URL:

E-mail:

6. What services do you wish to receive from JMP in relation to this account?

- | | | |
|---|--------------------------|--|
| Share brokerage services in PNGX securities: | <input type="checkbox"/> | <i>(JMP is a 'Participating Organisation' on the PNGX)</i> |
| Papua New Guinea Fixed Interest Securities: | <input type="checkbox"/> | <i>(We operate both in primary and secondary markets)</i> |
| Portfolio Management or Advisory Services: | <input type="checkbox"/> | <i>(We will contact you about this separately)</i> |
| Custodial or Nominee Services: | <input type="checkbox"/> | <i>(Please note that you will need to complete a Custodial Services Agreement)</i> |
| Assistance with buying securities in international markets: | <input type="checkbox"/> | <i>(Available only to Custodial Services Clients)</i> |
| Financial Markets Research: | <input type="checkbox"/> | <i>(We look forward to explaining to you our Research Options)</i> |

7. Who is authorised to set up this account and execute this agreement?

PRIMARY AUTHORISED PERSON

Title: Mr. Mrs. Ms. Miss. Dr. Other:

First Name:

M/Name:

Lastname:

Sr. Jr.

Position:

(Please note: JMP is obligated to ascertain with certainty that the nominated individual(s) to open an account are duly authorized to do so. Ordinarily, a director of an incorporated entity, a company secretary, member of a Board of Trustees, Guardians or Conveners will be acceptable. JMP reserves the right to require supporting documentation to evidence such authorization).

Office Ph.

Mobile Ph.

Email:

Address (if different to Applicant Contact Information in section 5 above):

Street.

Town/City

State/Province:

PO Box #:

Postcode/Zip

Country

PRIMARY AUTHORISED PERSON - IDENTIFICATION REQUIREMENTS

Date of Birth:

TIN (PNG only):

Country of Citizenship:

Identification Documentation:

Type of ID (select two)

Driver's License

Passport

State ID

Other Gov't Issued ID

Issuing Authority

ID Number:

(Please Note: Know Your Customer ('KYC') and Anti-Money Laundering and Terrorism Finance rules in place in Papua New Guinea mandate that anyone establishing and operating accounts with licensed securities broker/dealers be properly identified and verified. The information requested and collected will be used for no other purpose than the satisfaction of these legal requirements.)

SECONDARY AUTHORISED PERSON - IDENTIFICATION REQUIREMENTS

Title: Mr. Mrs. Ms. Miss. Dr. Other:

First Name: M/Name:

Lastname: Sr. Jr.

Position:

Office Ph: Mobile Ph:

Email:

Address (if different to Applicant Contact Information in section 5 above):

Street. Town/City

State/Province: PO Box #:

Postcode/Zip Country

SECONDARY AUTHORISED PERSON - IDENTIFICATION REQUIREMENTS

Date of Birth: TIN (PNG only):

Country of Citizenship:

Identification Documentation:

Type of ID (select two)

Driver's License

Passport

State ID

Other Gov't Issued ID

	Issuing Authority	ID Number:
<input type="checkbox"/>		
<input type="checkbox"/>		
<input type="checkbox"/>		
<input type="checkbox"/>		

This Section has been intentionally left blank

8. Who is authorised to request information from, and issue instructions to JMP in relation to this account?

a The following persons are authorised to request account and other information from JMP in respect of this Account:

- Primary Authorised Person:
- Secondary Authorised Person:
- Tertiary Authorised Person:
- Capital Nominees Limited (as Custodian*):
- Other Person(s) (provide details below):
- Not Applicable:

(*Subject to the execution of separate Custodial Services Agreement and the terms thereof)

OTHER PERSON AUTHORISED TO REQUEST INFORMATION

Title: Mr. Mrs. Ms. Miss. Dr. Other:

First Name: M/Name:

Lastname: Sr. Jr.

Position:

Office Ph: Mobile Ph:

Organisation (if not the Applicant)

Email:

Address (if different to Applicant Contact Information in section 5 above):

Street. Town/City

State/Province: PO Box #:

Postcode/Zip Country:

This Section has been intentionally left blank

b The following persons are authorised to issue trading and other instructions to JMP in respect of this Account:

Primary Authorised Person:	<input type="checkbox"/>
Secondary Authorised Person:	<input type="checkbox"/>
Tertiary Authorised Person:	<input type="checkbox"/>
Capital Nominees Limited (as Custodian*):	<input type="checkbox"/>
Other Person(s) (provide details below):	<input type="checkbox"/>
Not Applicable:	<input type="checkbox"/>

(*Subject to the execution of separate Custodial Services Agreement and the terms thereof)

OTHER PERSON AUTHORISED TO ISSUE TRADING AND OTHER INSTRUCTIONS

Title: Mr. Mrs. Ms. Miss. Dr. Other:

First Name: M/Name:

Lastname: Sr. Jr.

Position:

Office Ph: Mobile Ph:

Email:

Address (if different to Applicant Contact Information in section 5 above):

Street. Town/City

State/Province: PO Box #:

Postcode/Zip

OTHER INSTRUCTING PERSON - IDENTIFICATION REQUIREMENTS

Date of Birth: TIN (PNG only):

Country of Citizenship:

Identification Documentation:

Type of ID (select two)	Issuing Authority	ID Number:
Driver's License <input type="checkbox"/>		
Passport <input type="checkbox"/>		
State ID <input type="checkbox"/>		
Other Gov't Issued ID <input type="checkbox"/>		

9. Source of funds

What is the Applicant's primary sources of income or funds for investment?:

Source of Funds	Description	Annual Estimate
Profits from commercial operations <input type="checkbox"/>		<input type="checkbox"/> <PGK50k <input type="checkbox"/> PGK50k – 100k <input type="checkbox"/> PGK100k – 250k <input type="checkbox"/> PGK250k – 500k <input type="checkbox"/> PGK500k – 1M <input type="checkbox"/> >PGK1M
Government Grants <input type="checkbox"/>		<input type="checkbox"/> <PGK50k <input type="checkbox"/> PGK50k – 100k <input type="checkbox"/> PGK100k – 250k <input type="checkbox"/> PGK250k – 500k <input type="checkbox"/> PGK500k – 1M <input type="checkbox"/> >PGK1M
Yield from or sale of investment and other assets <input type="checkbox"/>		<input type="checkbox"/> <PGK50k <input type="checkbox"/> PGK50k – 100k <input type="checkbox"/> PGK100k – 250k <input type="checkbox"/> PGK250k – 500k <input type="checkbox"/> PGK500k – 1M <input type="checkbox"/> >PGK1M
Gifts or Donations <input type="checkbox"/>		<input type="checkbox"/> <PGK50k <input type="checkbox"/> PGK50k – 100k <input type="checkbox"/> PGK100k – 250k <input type="checkbox"/> PGK250k – 500k <input type="checkbox"/> PGK500k – 1M <input type="checkbox"/> >PGK1M
Other (please outline) <input type="checkbox"/>		<input type="checkbox"/> <PGK50k <input type="checkbox"/> PGK50k – 100k <input type="checkbox"/> PGK100k – 250k <input type="checkbox"/> PGK250k – 500k <input type="checkbox"/> PGK500k – 1M <input type="checkbox"/> >PGK1M

(Please Note: JMP is under continuous obligation to ensure that international and Papua New Guinea AML legislation and regulations are adhered to. As such, it is important that you provide detailed, accurate and reliable information in respect of the above.)

10. Investment Risk Tolerance

Investing involves risk. Different investment products and strategies involve different degrees of risk. The higher the expected returns of a product or strategy, the greater the risk that you could lose most of your investment. Investments should be chosen based on your objectives, timeframe, and tolerance for market fluctuations.

Please select the degree of risk you (and any co-applicants, if applicable) are willing to take with the assets in this account:

Conservative *I want to preserve my initial principal in this account, with minimal risk, even if that means this account does not generate significant income or returns and may not keep pace with inflation.*

Moderately Conservative *I am willing to accept low risk to my initial principal, including low volatility, to seek a modest level of portfolio returns.*

Moderate *I am willing to accept some risk to my initial principal and tolerate some volatility to seek higher returns, and understand I could lose a portion of the money invested.*

Moderately Aggressive *I am willing to accept high risk to my initial principal, including high volatility, to seek high returns over time, and understand I could lose a substantial amount of the money invested.*

Significant Risk *I am willing to accept maximum risk to my initial principal to aggressively seek maximum returns, and understand I could lose most, or all, of the money invested.*

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11. Financial Investment Experience

We are collecting the information below to better understand your investment experience. We recognize your responses may change over time as you work with us.

Please check the boxes that best describe your investment experience to date:

Type of Investment	Years' Experience			Transaction Per Year		
	NIL <input type="checkbox"/>	1-5 <input type="checkbox"/>	Over 5 <input type="checkbox"/>	0-5 <input type="checkbox"/>	6-15 <input type="checkbox"/>	Over 15 <input type="checkbox"/>
Mutual Funds/ETFs	NIL <input type="checkbox"/>	1-5 <input type="checkbox"/>	Over 5 <input type="checkbox"/>	0-5 <input type="checkbox"/>	6-15 <input type="checkbox"/>	Over 15 <input type="checkbox"/>
Individual Stocks	NIL <input type="checkbox"/>	1-5 <input type="checkbox"/>	Over 5 <input type="checkbox"/>	0-5 <input type="checkbox"/>	6-15 <input type="checkbox"/>	Over 15 <input type="checkbox"/>
Bonds	NIL <input type="checkbox"/>	1-5 <input type="checkbox"/>	Over 5 <input type="checkbox"/>	0-5 <input type="checkbox"/>	6-15 <input type="checkbox"/>	Over 15 <input type="checkbox"/>
Options	NIL <input type="checkbox"/>	1-5 <input type="checkbox"/>	Over 5 <input type="checkbox"/>	0-5 <input type="checkbox"/>	6-15 <input type="checkbox"/>	Over 15 <input type="checkbox"/>
Futures	NIL <input type="checkbox"/>	1-5 <input type="checkbox"/>	Over 5 <input type="checkbox"/>	0-5 <input type="checkbox"/>	6-15 <input type="checkbox"/>	Over 15 <input type="checkbox"/>
Annuities	NIL <input type="checkbox"/>	1-5 <input type="checkbox"/>	Over 5 <input type="checkbox"/>	0-5 <input type="checkbox"/>	6-15 <input type="checkbox"/>	Over 15 <input type="checkbox"/>
CFDs	NIL <input type="checkbox"/>	1-5 <input type="checkbox"/>	Over 5 <input type="checkbox"/>	0-5 <input type="checkbox"/>	6-15 <input type="checkbox"/>	Over 15 <input type="checkbox"/>
Alternatives*	NIL <input type="checkbox"/>	1-5 <input type="checkbox"/>	Over 5 <input type="checkbox"/>	0-5 <input type="checkbox"/>	6-15 <input type="checkbox"/>	Over 15 <input type="checkbox"/>
Margin	NIL <input type="checkbox"/>	1-5 <input type="checkbox"/>	Over 5 <input type="checkbox"/>	0-5 <input type="checkbox"/>	6-15 <input type="checkbox"/>	Over 15 <input type="checkbox"/>

(* May include structured products, hedge funds etc)

Decision-Making (check all that apply):

- I consult with my broker, investment adviser, CPA, or other financial professional.
- I do my own research, including from publicly available news and information providers.
- I generally make my own decisions and/or consult with my co-applicant(s).
- I discuss investment decisions with family and/or friends.

12. Managing Your Cash

Sometimes there is cash in your account that hasn't been invested. For example, you may have just deposited money into your account without giving instructions on how to invest it, or you may have received cash dividends or interest. We may automatically place—or “sweep”—that cash into your nominated bank account.

Your Bank Account details:

Bank: _____ Branch: _____

BSB: _____ Account #: _____

Account Name: _____

13. Communications

Unless you choose otherwise, we will use electronic mail (e-mail) to send you any communications.

As e-mail is the preferred mode of communication, please let us know the e-mail address we should use:

POSTAL MAIL OPTION (IF POSTAL MAIL DELIVERY IS ELECTED BY YOU AS AN ALTERNATIVE TO E-MAIL)

By checking the boxes below, you request that all communications for the applicants listed on this Application be delivered to the following single postal mailing address:

- Primary Authorised Person:
- Secondary Authorised Person:
- Other Person(s)

As postal delivery is the preferred mode of communication, please let us know the postal address we should use:

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14. Review and Submit Application

CONFIRMATION AND SIGNATURE (PLEASE READ CAREFULLY)

By signing this Application, you confirm that you have received and read this Application and any supplemental documents governing this relationship.

You confirm that the information you have provided is accurate and you agree to notify us of any changes in the information provided.

Signatures:

Primary Authorised Person:

Print Name	Signature	Date
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Secondary Authorised Person:

Print Name	Signature	Date
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Please e-mail or mail your completed Application to the addresses listed below:

JMP Securities Limited

Level 3, ADF Haus,
Musgrave Street,
PO Box 2064
Port Moresby, NCD,
Papua New Guinea

E: enquiries@jmpmarkets.com

JMP Securities Bank Account details for transfer of funds

PNGX Settlements

JMP Securities Limited
Settlements Account
Bank: Bank South Pacific
Branch: Gordon Commercial
Centre BSB: 088-951
Account Number:
7019145890

International Settlements - PGK

Account name: Capital Nominees Limited
Bank: Bank South Pacific
Branch: Gordon Commercial Centre BSB:
088-951
Account Number: 7019072672

International Settlements - AUD

Account name: Capital
Nominees Limited
Bank: Macquarie Bank
Branch: 182 222
Account Number: 12106406
Swift code: BOSPPGPM

NOTES

For office use only

Compliance officer

I confirm that I have performed the following;

- Verified the account details on the system
- Verified the signature and received client’s photo identification on the system if an existing client Receive the statement of holding to confirm the holding
- For joint applicants, authorised representatives have signed the form
- For non-individual applicants, the authorised signatories have authorised the transaction with copies of relevant documents substantiating the applications.

Staff Id: _____ Name: _____ Date __/__/20__

Authorising Officer

Staff Id: _____ Name: _____ Date __/__/20__

Counterparty details

Account number: _____ Adviser: _____