J.P.Morgan

J.P. Morgan Derivatives Account Application and Agreement: Swaps and Other Contracts

D. Account Information – ALL ACCOUNT TYPES

Investment Objective

Please review and consider the investment objectives and risk tolerance definitions below when selecting your investment objective

Capital preservation: For clients looking to preserve their principal, but who are comfortable with a small amount of volatility in exchange for the possibility of returns. Clients with this objective are interested in liquid, lower risk investments, a portion of which may have short terms and stable values, resulting in smaller returns than some of the other major asset classes.

Income generation: For clients seeking a balanced approach to growth through a combination of products with differing levels of risk and return. Clients with this objective expect the volatility in their account to be more than capital preservation, but less than capital appreciation, with the intent of earning income.

Capital appreciation: For clients who are looking for a higher rate of return and are, as a result, willing to take on higher risk.

Speculation: Speculation includes the most aggressive investments. This level of risk tolerance is for clients willing to invest a portion, or all, of their account in products that may generate higher returns, but may also lose all or a part of the investment.

Please select one objective for this account

☐ Capital preservation without speculation

☐ Income generation without speculation

☐ Income generation with speculation

☒ Capital appreciation with speculation

Please check one for each section

Primary source of income:	☒ Investments	☐ Compensation	☐ Pension	☐ Other________
Investment Time Horizon:	☐ Less than 1 year	☐ 1-5 years	☐ 6-10 years	☒ Greater than 10 years
Primary Liquidity Needs:	☐ Short Term	☐ Medium Term	☒ Long Term	☐ None
Secondary Liquidity Needs:	☐ Short Term	☐ Medium Term	☒ Long Term	☐ None

Investment Experience

PRODUCT	YEARS OF EXPERIENCE	PRODUCT	YEARS OF EXPERIENCE	PRODUCT	YEARS OF EXPERIENCE
Stocks	10	Foreign exchange	10	Commodities	10
Bonds	10	Emerging markets	10	Derivatives	10
Mutual funds	10	Hedge funds	10	Futures	10
Structured products	10	Private investments	10		

I currently have brokerage accounts with the following firms: N/A

Approximate value of investable assets held away from J.P. Morgan N/A

Those assets are invested in the following Asset Classes: ☐ Equities ☐ Fixed Income & Cash ☐ Alternative Investments ☐ Other
and are primarily concentrated in ☐ Equities ☐ Fixed Income & Cash ☐ Alternative Investments ☐ Other

Affiliations (All Account Owners)

I, my spouse, or immediate family member who receives material support from me or gives me material support to me is a director, corporate officer, control person, affiliate or an owner of 10% of a public corporation's stock: ☐ Yes ☒ No

If yes,* name of person ________________ Name of Corporation ________________

If yes, is the corporation traded publicly on a U.S. stock exchange? ☐ Yes ☒ No

I, my spouse, immediate family member who receives material support from me or gives material support to me, or an individual controlling the account is employed by or associated with an FCM, broker-dealer, a futures or securities exchange, the NFA or FINRA, the CFTC, SEC or the MSRB: ☐ Yes ☒ No

If yes,* name of employer ________________ Name of employee/assoc. ________________