



JOHNSON
FINANCIAL CONSULTING

NEW TRADE ACCOUNT APPLICATION FORM

- PRINT THIS ACCOUNT APPLICATION
- COMPLETE THE REQUIRED INFORMATION
- SIGN AND INITIAL WHERE INDICATED
- EMAIL DOCUMENTS TO OUR ADMIN DEPARTMENT

EMAIL: admin@johnsonfinancialconsulting.com

ONCE WE HAVE RECEIVED YOUR APPLICATION(S), OUR COMPLIANCE DEPARTMENT WILL CALL YOU TO VERIFY AND PROCESS YOUR APPLICATION.



Registration Type

Individual, Corporation or Partnership*, Trust*, Tenants in Common, Joint Tenants with Rights of Survivorship, Custodian for Minor, UTMA, UGMA, Other:

Cash, Margin*, Option*, ProCash Plus*, IRA*

Account Number, RR No.

* Additional documents are required to open these types of accounts Settlement Account

Type: Manual

ACCOUNT DETAILS

JOINT ACCOUNT DETAILS (If applicable)

Name, Street Address, City, State Zip, Code, Social Security or Tax I.D. No., Country of Citizenship, Date of Birth, Evening Telephone No., Day Telephone No., Mailing Address, ID Type, State/Gov't Issuer, Issue Date, Expiration Date

Bank Account Type Checking Savings

Account Name, Account Number, Swift Code

Bank Name & Address

YOUR INFORMATION (Please tick one box)

YOUR OCCUPATION

Years of Investment Experience, Annual Income, Financial Net Worth, Total Net Worth, Tax Bracket, Investment Objective, Risk Tolerance, Investment Time Frame, Are you or the joint owner a senior officer, director or large shareholder of a public company?, Are you, the joint owner, or any member of your immediate family affiliated with or employed by a member of a stock exchange or the NASD?, Is the holder, or a person with an interest in the account, either (1) a senior military, governmental, or political official in a non-U.S. Country or (2) closely associated with or an immediate family member of such an official?, Are you or the joint owner maintaining any other brokerage accounts?, Are you or the joint owner invested in any mutual funds or annuities?

Please review all the information you have provided and read the agreements below before signing.

DISCLOSURE: _____ (please initial)

I/we have been advised and understand that non-deposit products (stocks, bonds, mutual funds, unit investment trusts, fixed and variable annuities, and insurance products), offered by Johnson Financial Consulting (1) are not insured or guaranteed by the Federal Deposit Insurance Corporation (FDIC), NCUA, or any other government agency (with the exception of brokered CDs). Furthermore, non-deposit products (2) are not deposits of this institution; (3) are not obligations of, or guaranteed by this financial institution; (4) and may involve investment risks, including the potential loss of principal. I am aware that there are fees associated with the purchase or sale of mutual funds and/or annuities, and a copy of such prospectus has been provided to me. I/we understand that this financial institution may not condition the extension of credit on my purchase of an insurance product or annuity from this financial institution or one of its affiliates and that this financial institution may not prohibit me from purchasing an insurance product or annuity from an unaffiliated entity.

I have received a copy of the Client Agreement, located on the reverse side of this application.

Under the penalties of perjury, I (we) certify 1) that the identification number(s) indicated above is (are) correct, and 2) I am not a U.S. person. 3) that I (we) am (are) subject to backup withholding as a result of failure to report all interest or dividends, or the Internal Revenue Service has notified me (us) that I (we) am (are) no longer subject to backup withholding. (Please check here _____ only if you are subject to backup withholding). The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid back-up withholding.

X _____ X _____
 Client Signature Date Joint Owner Signature

X _____
 Registered Principal Signature [Johnson Financial Consulting USE ONLY]

Additional Documentation

Additional forms are required when opening the following accounts.

Corporate Resolution

The form must be signed by the corporation's secretary and have the company's seal or be notarized. For companies of organizations that are not incorporated, please use the Non0Corporate Resolution.

Account Transfer

This form is used to transfer your account from another brokerage firm, bank, or mutual fund. The names listed on the accounts must match and a copy of your most recent statement must accompany this form.

Traditional IRA

This form, in addition to the standard application, is used when establishing a Participant, Rollover, Spousal, Guardian, or Beneficiary Individual Retirement Account.

Roth IRA

This form is required, in addition to the standard application, when establishing a Roth IRA account.

Margin Account

This form is used to establish a margin account.

CLIENT AGREEMENT

To help the government fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account. What this means for you: When you open an account, we will ask for your name, address, date of birth and other information that will allow us to identify you. We may also ask to see your driver's license or other identifying documents.

*Investment Profile Guide

1. The Income category should represent the income of all account holders.
2. The Financial Net Worth should represent the net worth of the account holder(s) less the value of their home. Total Net Worth should indicate net worth including all assets less liabilities.
3. Tax Bracket should indicate the highest tax bracket of the account holder(s).
4. The Investment Objectives category selections are defined as follows:
 - Income - identifies clients seeking income from their investments.
 - Income & Growth - indicates a client whose objectives include both Growth and Income components.
 - Growth - identifies clients seeking growth from their investments.
 - Speculative - should be indicated for clients who are willing to assume very high risk in seeking higher returns in their investments.
5. Risk Tolerance - use this category to designate how much risk the client is willing to accept in order to achieve their goals for this account.
 - Below Average Risk - willing to only accept small fluctuations in value to achieve investment objectives.
 - Average Risk - willing to take on moderate fluctuations in value with overall market.
 - Above Average Risk - willing to accept a higher than average amount of risk and declines in value to reach their goals.
 - Aggressive - identifies customers that will assume very high risk on speculative investments to earn higher returns.
6. Time Frame - The investment time horizon for this account.

To Johnson Financial Consulting,

1. I (we) have the required legal capacity and am (are) authorized to enter into this agreement. I (we) may terminate it at any time by delivering written notice of termination to you, and you may terminate it at any time by delivering written notice of termination to me (us).
2. I (we) acknowledge that I (we) have been informed that Johnson Financial Consulting has entered into a clearing agreement with various clearing houses, which specifies the functions and responsibilities of Johnson Financial Consulting with respect to certain matters affecting my (our) account, and that a description of that agreement is available upon my (our) written request.
3. I (we) understand and agree that any telephone conversation with you may be recorded for accuracy.
4. In the event I (we) become indebted to you in the course of operation of this account, I (we) agree that I (we) will repay such indebtedness upon demand. I (we) agree that, if after demand I (we) fail to pay the indebtedness, you may freeze/block my (our) account until such time an amount sufficient to pay my (our) indebtedness has been paid including any penalties, interest and legal fees incurred.
5. I (we) agree, when placing sell orders, to designate whether each order is from a short position or long position, and authorize you to mark each order accordingly. If you do not already hold securities designated for long accounts when the order is placed, I (we) agree to deliver such securities in good form to you on or before the settlement date for the order. If I (we) do not fulfill this agreement, or if you are unable to settle any other transaction by reason of my (our) failure to make payment or deliver securities in good form, I (we) authorize you to take all steps necessary to complete the transaction, and I (we) will reimburse you for all costs, losses or liabilities you incur.
6. I (we) appoint you as my (our) agent for the purpose of carrying out my (our) directions with respect to the purchase or sale of securities. To carry out your duties, you are authorized to open or close brokerage accounts, place and withdraw orders, receive copies of confirmations and statements of account and take such other steps as are reasonable to carry out my (our) directions.
7. If this is a joint account, it shall be held by us jointly with rights of survivorship (payable to either or the survivor of us), unless we notify you otherwise and provide such documentation as you require. Each joint tenant irrevocably appoints the other as attorney-in-fact to take all action on his or her behalf and to represent him or her behalf and to represent him or her in all respects in connection with this Agreement. You shall be fully protected in acting upon the instructions by either or both of us.
8. I (we) authorize Johnson Financial Consulting to direct any financial institution, to deduct from any checking, savings or other account held by me (us) and apply the amount deducted to (1) any amount owed to Johnson Financial Consulting for any transaction executed for my (our) account which I (we) have not settled on the settlement date, or (2) any amount owed to Johnson Financial Consulting because of any loss in my (our) account, or (3) my (our) account to maintain my (our) account in compliance with any federal or state laws and regulations or the rules and regulations of any exchange or self-regulatory organization. I (we) authorize any financial institution to rely on a machine copy of this Agreement as authority for such financial institution to make such deductions and to also credit my (our) account for any dividends and interest on securities held in my (our) account with Johnson Financial Consulting.
9. You shall not be liable for loss caused directly or indirectly by war, natural disasters, government restrictions, exchange or market rulings or other conditions beyond your control.
10. The reasonable costs of collection of the debit balance and any unpaid deficiency in my (our) accounts, including attorney's fees incurred by you, shall be reimbursed by me (us) to you.
11. I (we) understand that all open orders may be reviewed after 30 days. In the event that you are unable to confirm with me (us) that the order is still good, you may, at your discretion, cancel it.
12. I (we) understand that Johnson Financial Consulting is a Trademark of Johnson Financial Consulting.
13. I (we) agree that this Agreement shall be governed by and interpreted in accordance with international law, excluding its conflicts of law rules.
14. I (we) acknowledge and agree that this agreement contains a pre-dispute arbitration clause. By signing an arbitration agreement the parties agree as follows:
 - All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.
 - Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.
 - The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.
 - The arbitrators do not have to explain their award.
 - The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
 - The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.
 - The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.
- I (we) agree, and by carrying an account for the Customer, Johnson Financial Consulting agrees, that all controversies which may arise between the parties concerning any transaction or construction, performance, or breach of this or any other agreement between us pertaining to securities and other property, whether entered into prior, on or subsequent to the date hereof, shall be determined by arbitration. Any arbitration under this agreement shall be conducted pursuant to the Federal Arbitration Act and International Law, the National Association of Securities Dealers, Inc., or the Municipal Securities Rule Making Board and in accordance with the rules of the selected organization. The Customer may elect in the first instance where arbitration shall be made, but if the Customer fails to make such election by registered letter or telegram addressed to Johnson Financial Consulting at their main address, before the expiration of ten days after receipt of a written request from Johnson Financial Consulting to make such election, then Johnson Financial Consulting may make such election. The award of the arbitrators, or of the majority of them, shall be final, and judgment upon the award rendered may be entered and enforced in any court, state or federal, having jurisdiction. No persons shall bring a punitive or certified class action to arbitration, nor seek to enforce any pre-dispute arbitration agreement against any person who has initiated in court a punitive class action; or who is a member of a punitive class who has not opted out of the class with respect to any claims encompassed by the punitive class action until: (i) the class certification is denied, or (ii) the class is decertified, or (iii) the customer is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to the extent stated herein. I (we) understand that complaints, not requesting resolution through arbitration, may be directed to the Johnson Financial Consulting main address.
15. I (we) are aware that this account is subject to the Johnson Financial Consulting schedule of fees, a copy of which is available upon my request.
16. I (we) understand that, under the Federal Fair Credit Reporting Act, I (we) have the right to notify you if I (we) believe you have inaccurately reported information about my (our) account to a consumer reporting agency. I (we) understand that under no circumstances will Johnson Financial Consulting sell, share or otherwise provide my (our) personal information to any non-affiliated third party entity. I (we) acknowledge disclosed to me (us) that an investigative consumer report, including information as to my (our) creditworthiness, insurance and credit standing, credit capacity, character, general reputation, personal characteristics, and mode of living will be conducted. I (we) have initiated this transaction and have been advised that I (we) have the right, upon written request within a reasonable time after having received this disclosure, to complete and accurate information on the nature and scope of the inquiry, if one is made, and to a written summary of the rights of the consumer under the Fair Credit Reporting Act with any disclosure from a consumer reporting agency. I (we) understand any such requests, notices, or inquiries should include my (our) names(s), current address(es), social security number(s), telephone number(s), and account number, and, in the case of information I (we) believe inaccurately reported, the specific item of dispute. I (we) understand that my (our) request should be sent to Johnson Financial Consulting's office, and should be mailed in a separate envelope and not included with any other correspondence. I (we) understand that, except to the extent required by applicable law, these Fair Credit Reporting Act disclosures do not apply to business to business or commercial transactions.

PRIVACY POLICY & DISCLAIMER

Johnson Financial Consulting, through its network of independent registered representatives, distributes a variety of financial products and services to you. We have always valued the trust our customers have placed in us and are committed to the responsible management, use, and protection of our customers' personal information. We are proud of our privacy and confidentiality practices, and we want you to know how we protect your information and use it to service your account(s).

Please take a moment to review our privacy policy, as described below. If you deal with us through an independent Registered Investment Adviser, please also review your advisor's related privacy policy.

Gathering Information

Johnson Financial Consulting collects personal information about you to help us serve your financial needs, process transactions in your account(s), provide customer service, offer new products or services, and fulfill legal and regulatory requirements.

Johnson Financial Consulting collects non-public personal information from you, as well as from other sources. The sources and the information collected may include:

- Information you provide to us, to our affiliated entities, or to your registered representative on applications and related forms, through discussions with our customer service staff, or on our website, such as address, social security number, birth date, net worth, assets, income, and medical information, if applying for insurance
- Information regarding your transaction history with us, such as products or services purchased, account balances, trading history, and payment history, as well as information from information service companies and consumer reporting agencies, such as your transactions or credit relationships with unaffiliated third parties
- Information from other unaffiliated third parties, including employers, associations, benefit plan sponsors, and other institutions, if you transfer positions or funds to Johnson Financial Consulting Partners, such as address, social security number, net worth, assets, and income

Sharing Information

We may disclose any of the non-public personal information that we collect about you, as required to conduct our business and as permitted or required by law. We may share information about our customers with our affiliated Investment Adviser and/or with non-financial services providers, such as insurance companies, mutual fund companies, banks, investment firms, third-party administrators, clearing firms, and other third parties who assist us in providing account maintenance or customer service to your account(s). We also may share your information with regulators and law enforcement organizations or in response to a subpoena or discovery request, as permitted or required by law.

We do not sell, share, or disclose your nonpublic personal information to unaffiliated third-party marketing companies.

If the advisor servicing your account(s) leaves Johnson Financial Consulting to join another financial institution, the advisor may retain copies of your personal information so that he or she can continue to serve you at the new firm. In doing so, your advisor may share your information with the new firm but is otherwise required to keep confidential the personal information obtained from you while the advisor was affiliated with Johnson Financial Consulting, and he or she may only use it to service your account(s).

Opting In

If you live in an "opt-in" state, where we are required to obtain your affirmative consent to share your nonpublic personal information with unaffiliated third parties who do not currently assist us in servicing your account, we will obtain your consent before we allow your advisor to take your information with him or her should your advisor leave Johnson Financial Consulting. Please note: You can withdraw your consent at any time by contacting the Compliance department.

Opting Out

If you live in an "opt-out" state and do not want your advisor to take your information with him or her should your advisor decide to leave Johnson Financial Consulting in the future, you have the right to opt out of such disclosure. If you have a joint account, we will treat an opt-out direction by a joint customer as applying to all associated joint customers. If you wish to opt out, now or at any time in the future, please contact our Compliance Department.

Safeguarding Privacy

Johnson Financial Consulting recognizes the need to prevent unauthorized access to the information we collect, including information held in electronic format. Johnson Financial Consulting authorizes access to your non-public personal information only to personnel who need that information to serve you or to conduct our operations. We maintain physical, electronic, procedural, and contractual safeguards regarding your non-public personal information to ensure that we comply with our own policy, industry practices, and federal and state regulations. And we train our employees in the proper handling of sensitive information. If you decide to close your account(s) or become an inactive customer, we will adhere to the privacy policies and practices as described in this notice.