

New Account Agreement

Completed and signed New Account Agreement is required for both the Primary and the Joint or Associated Account Holder

GENERAL INFORMATION

Account Number: _____ - _____ Rep No: _____ Account Type: _____ Tax ID or SSN: _____
Account Registration: _____
Mailing Address: _____
Legal Address: _____
(Must not be a PO Box)
Business Phone: _____ Personal Phone: _____
Other Phone: _____ E-mail: _____

INVESTOR PROFILE

Name: _____ Gender: _____
Date of Birth: _____ Citizenship: _____
Mother's Maiden Name: _____ Tax Bracket (%): _____
Annual Income: \$ _____ to \$ _____
Total Net Worth: \$ _____ to \$ _____
(Exclusive of family residence)
Liquid Net Worth: \$ _____ to \$ _____
Employment Status: Employed Self-Employed
 Not Employed Retired Student
Occupation: _____
Employer: _____
(Prior employer if not currently employed)
Type of Business: _____
Employer Address: _____
Employer Phone: _____ No. Yrs. Employed: _____
Are you employed by or registered with Bolton Global Capital? Yes No

GENERAL INVESTMENTS EXPERIENCE

Please rate your experience and provide your current holdings for each of the following categories:

Experience Level	None	Limited	Moderate	Extensive	
General Knowledge	_____	_____	_____	_____	Value Currently Held: \$ _____
Annuities Fixed	_____	_____	_____	_____	Value Currently Held: \$ _____
Annuities Variable	_____	_____	_____	_____	Value Currently Held: \$ _____
Commodities and Futures	_____	_____	_____	_____	Value Currently Held: \$ _____
Equities	_____	_____	_____	_____	Value Currently Held: \$ _____
Exchange Traded Funds	_____	_____	_____	_____	Value Currently Held: \$ _____
Fixed Income	_____	_____	_____	_____	Value Currently Held: \$ _____
Insurance	_____	_____	_____	_____	Value Currently Held: \$ _____
Mutual Funds	_____	_____	_____	_____	Value Currently Held: \$ _____
Options	_____	_____	_____	_____	Value Currently Held: \$ _____
Other	_____	_____	_____	_____	Value Currently Held: \$ _____
Precious Metals	_____	_____	_____	_____	Value Currently Held: \$ _____
Real Estate	_____	_____	_____	_____	Value Currently Held: \$ _____
Unit Investment Trusts	_____	_____	_____	_____	Value Currently Held: \$ _____

USA PATRIOT ACT INFORMATION

Source of Funds: _____
Is this account for a private banking account as defined under the USA PATRIOT Act? Yes No
Is this account for a foreign bank under the USA PATRIOT Act? Yes No

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 to 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 for your driver's license or other identifying documents.**

SECURITIES CLEARED AND ACCOUNTS HELD THROUGH BNY MELLON PERSHING, A BANK OF NEW YORK MELLON COMPANY

Servicing Broker Dealer: Bolton Global Capital, Inc. 579 Main Street, Bolton, MA 01740, (978) 779-5361

MEMBER FINRA, SIPC

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New Account Agreement

IDENTIFICATION DOCUMENT (Must be completed by Rep)

Driver's License Passport Other: _____
ID Number: _____
Valid thru: _____ Country or State: _____
 Inspected Doc Obtained Copy **Rep Initials:** _____

ACCOUNT INSTRUCTIONS

Proceeds: Remit Hold
Dividend/Interest: Remit Hold
Pay Cycle: Semimonthly Monthly Quarterly
 Annually Start Date: _____

CASH MANAGEMENT OPTION (Select one for the uninvested cash in your account)

Retain In Cash
 Money Market Sweep Program Fund Selection: _____
(Default fund will be used if Fund Selection is left blank)

AFFILIATIONS

Interested Party: _____

Do you or a family member or other relative have an affiliation with any one of the following entities as agent, representative, employee, senior officer, director or major shareholder? Yes No (If "Yes" check all that apply and provide details below:)

Broker Dealer Stock Exchange FINRA Securities Firm U.S. Bank Foreign Bank
 Investment Advisor Investment Company Public Company Foreign Government Insurance Company Private Bank

Name of Affiliated Entity**Name of Affiliated Person****Describe Affiliation****TRUSTED CONTACT (Must be at least 18 years of age)**

By choosing to provide information about a trusted contact person, you authorize us to contact the trusted contact person listed below and disclose information about your account to that person in the following circumstances: to address possible financial exploitation, to confirm the specifics of your current contact information, health status, or the identity of any legal guardian, executor, trustee or holder of a power of attorney, or as otherwise permitted by FINRA Rule 2165 (Financial Exploitation of Specified Adults).

Name: _____

Mailing Address: _____

Personal Phone: _____ E-mail: _____

U.S. TAXPAYER CERTIFICATION

W9 Taxpayer Certification: Under penalties of perjury, I certify that: (1) the number shown on this form is my correct Social Security Number or Taxpayer Identification Number (or I am waiting for a number to be issued to me); (2) I am not subject to backup withholding because (a) I am exempt from backup withholding or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest and dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; (3) I am a U.S. person (including a U.S. resident alien); and (4) The FATCA codes(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

NOTE: You must cross out Item (2) above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For accounts exempt from backup withholding, provide your exempt payee code below. For a single-member LLC that is disregarded, enter the information for the U.S. Owner in the General Information section above.

For Business Entities Only, Please Select One:

Sole Proprietor or Single Member LLC C Corporation S Corporation
 Limited Liability Corporation Partnership Trust/Estate

Exemptions: (See Form W-9 for exempt payee and FATCA codes)

Exempt payee code (if any): _____

Exemption from FATCA reporting code (if any): _____

By signing below, I acknowledge that this agreement contains a predispute arbitration clause as described in Paragraphs 17 and 18 in this agreement. I further acknowledge I have been furnished with Bolton's Form CRS located at http://holtonglobal.com/doc/CURRENT_BOLTON_FORM_CRS.pdf, our Privacy Policy located at <http://holtonglobal.com/our-story/disclosures>, and also a copy of the New Account Agreement and that I have read, understood, and agree to be bound by its terms and conditions, including the cash management option election above and as described in Paragraph 16 of this agreement, as they are currently in effect and as they may be amended in the future.

Account Holder's Signature

Date

Account Holder Name (Please Print)

By signing below, the Registered Representative acknowledges that a copy of this Agreement and FINRA's required educational communication on issues to consider when your broker changes firms have been furnished to the client.

Signature of Registered Representative

Date

Principal Approval Signature

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MEMBER FINRA, SIPC

New Account Agreement

CERTIFICATION OF BENEFICIAL OWNER(S) OF LEGAL ENTITY CLIENTS

- 1) Name of Natural Person Opening Account: _____
- 2) Name of Legal Entity: _____ Legal Entity Type: _____ Operating _____ Non-Operating (e.g., PIC)
3) Legal Entity Legal Address: _____

CONTROL PERSON

A Control Person is required to be named and is an individual person with significant responsibility for managing or directing the Legal Entity (e.g., CEO, CFO, COO, General Partner, President).

- 1) Name of Control Person: _____
- 2) Control Person Title: _____
- 3) Legal Address: _____
- 4) Government Identification Number (*Non-U.S. persons only*): _____
Identification Type: _____ Passport _____ Other Similar ID Number Country of Issuance: _____
- 5) Social Security Number (*U.S. persons only*): _____

BENEFICIAL OWNER(S)

Provide information for all individuals who are Beneficial Owner(s), directly or indirectly, of the Legal Entity. **Include a copy of a government-issued identifying document for each Beneficial Owner listed on this form.** Include separate page(s) to add additional individuals.

First Beneficial Owner

- 1) Name of Beneficial Owner: _____
- 2) Date of Birth: _____
- 3) Legal Address: _____
- 4) Government Identification Number (*Non-U.S. persons only*): _____
Identification Type: _____ Passport _____ Other Similar ID Number Country of Issuance: _____
- 5) Social Security Number (*U.S. persons only*): _____

Second Beneficial Owner

- 1) Name of Beneficial Owner: _____
- 2) Date of Birth: _____
- 3) Legal Address: _____
- 4) Government Identification Number (*Non-U.S. persons only*): _____
Identification Type: _____ Passport _____ Other Similar ID Number Country of Issuance: _____
- 5) Social Security Number (*U.S. persons only*): _____

Third Beneficial Owner

- 1) Name of Beneficial Owner: _____
- 2) Date of Birth: _____
- 3) Legal Address: _____
- 4) Government Identification Number (*Non-U.S. persons only*): _____
Identification Type: _____ Passport _____ Other Similar ID Number Country of Issuance: _____
- 5) Social Security Number (*U.S. persons only*): _____

Fourth Beneficial Owner

- 1) Name of Beneficial Owner: _____
- 2) Date of Birth: _____
- 3) Legal Address: _____
- 4) Government Identification Number (*Non-U.S. persons only*): _____
Identification Type: _____ Passport _____ Other Similar ID Number Country of Issuance: _____
- 5) Social Security Number (*U.S. persons only*): _____

By signing below, I hereby certify, to the best of my knowledge, that the information provided above is complete, true, and accurate.

Signature of Natural Person Opening Account

Date

Name of Natural Person Opening Account (*Please Print*)

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MEMBER FINRA, SIPC

New Account Agreement - Terms, Conditions & Disclosures

- 1. PROVISIONS IN THE EVENT OF FAILURE TO PAY OR DELIVER:** Whenever the undersigned does not, on or before the settlement date, pay in full for any security purchased for the account of the undersigned (the "undersigned" shall include any person executing this agreement and may otherwise be referred to herein as "client"), or deliver any security sold for such account, Bolton Global Capital Corporation ("Bolton") is authorized (subject to the provisions of any applicable statute, rule, or regulation):
 - (A) Until payment or delivery is made in full, to pledge, repledge, hypothecate, or rehypothecate, without notice, any or all securities which Bolton or Bolton's clearing agent may hold for the undersigned (either individually or jointly with others); separately or in common with other securities or commodities or any other property, for the sum then due or for a greater or lesser sum and without retaining in Bolton's possession and control delivery a like amount of similar securities.
 - (B) To sell any or all securities which Bolton or its clearing agent may hold for the undersigned (either individually or jointly with others), to buy in any or all securities required to make delivery for the account of the undersigned, or to cancel any or all outstanding orders or commitments for account of the undersigned.
- 2. CANCELLATION, CLOSURE AND TERMINATION PROVISIONS:** Bolton is authorized, in its discretion, should the undersigned die or should Bolton, for any reason, it deems necessary, without notice, to: (i) liquidate holdings, in whole or in part, in the accounts of the undersigned; (ii) cancel any outstanding orders in the accounts of the undersigned, in whole or in part; (iii) close out any of the commitments made on behalf of the undersigned; and (iv) close out any accounts of the undersigned by issuing a check for the liquidated amount of the accounts to the undersigned at the address of record of the accounts.
- 3. GENERAL PROVISIONS:** Any sale, purchase, or cancellation authorized hereby may be made according to Bolton's judgment and at its discretion on the exchange or other market where such business is then usually transacted, at public auction, or at private sale without advertising the same and without any notice, prior to tender, demand or call, and Bolton may purchase the whole or any part of such securities free from any right of redemption, and the undersigned shall remain liable for any deficiency. It is further understood that any notice, prior to tender, demand, or call from Bolton shall not be considered a waiver of any provision of this agreement.
- 4. SUCCESSORS:** This agreement and its provisions shall be continuous and shall inure to the benefit of Bolton's present organization, and any successor organization or assigns, and shall be binding upon the undersigned and/or the estate, executors, administrators, and assigns of the undersigned.
- 5. AGE:** The undersigned, if an individual, represents that he or she is of full age.
- 6. INTEREST IN ACCOUNT:** No one except the undersigned has an interest in any of its accounts with Bolton unless such interest is revealed in the title of such account and in any case, the undersigned has the interest indicated in such title.
- 7. ORDERS AND STATEMENTS:** Reports of the execution of orders and statements of the account(s) of the undersigned shall be conclusive if not objected to in writing, the former within two days and the latter within ten days, after forwarding by Bolton to the undersigned by mail or otherwise.
- 8. EXTRAORDINARY EVENTS:** Bolton shall not be liable for loss or delay caused directly or indirectly by war, natural disasters, government restrictions, exchange, or market rulings, or other conditions beyond Bolton's control.
- 9. FEES, CHARGES AND IMPORTANT DISCLOSURES REGARDING YOUR ACCOUNT:** The undersigned agrees to the fees and charges on the fee schedule which can be reviewed by the undersigned at <http://boltonglobal.com/doc/ScheduleOfServiceFees.pdf> or obtained by calling (978) 779-5361. Bolton may change the fee schedule from time to time without prior notice. Additionally, the undersigned acknowledges and understands that important disclosures regarding their account can be and should be reviewed by the undersigned at <http://boltonglobal.com/our-story/disclosures> or obtained by calling (978) 779-5361. Finally, the undersigned acknowledges that they have been furnished with Bolton's Form CRS located at https://boltonglobal.com/doc/CURRENT_BOLTON_FORM_CRS.pdf
- 10. JOINT ACCOUNTS:** If this is a joint account, unless the undersigned notifies Bolton otherwise and provides such documentation, as Bolton requires, the brokerage account(s) shall be held by Bolton jointly with rights of survivorship. 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 in all respects in connection with this Agreement. Bolton shall be fully protected in acting but shall not be required to act upon the instructions of either undersigned. The undersigned shall be liable, jointly, and individually, for any amounts due to Bolton pursuant-to this Agreement whether incurred by either or both undersigned.

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- 11. ADDRESS:** Communications may be sent to the undersigned at the current address of the undersigned which is on file at Bolton's office, or at such other address as the undersigned may hereafter give Bolton in writing. All communications so sent, whether by mail, telegraph messenger, or otherwise, shall be deemed given to the undersigned personally, whether actually received or not.
- 12. SPECIAL NOTE TO NON-U.S. ACCOUNTS:** With respect to assets custodied by Pershing on the client's behalf, the client acknowledges that income and capital gains or distributions to client from this account may be taxable in client's home jurisdiction. The client acknowledges to Bolton and to Pershing that they have taken their own tax advice in this regard.
- 13. RECORDING CONVERSATIONS:** The undersigned understands and agrees that for our mutual protection Bolton may electronically record any of our telephone conversations.
- 14. RISK EXPOSURE DEFINITIONS:** You, the client, should carefully consider your stated risk exposure according to the following definitions:

Low: 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.

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.

Speculation: 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 money invested.

High 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.

- 15. MONEY MARKET SWEEP PROGRAM:** In the event a money market sweep program is available, Bolton will establish and maintain positions in a money market fund whose shares are automatically bought and redeemed through the client's brokerage account. The client understands that client has the right to withdraw their consent to participate in the money market sweep program or to change their money market fund option. For the current list of money market funds that are utilized in the sweep program and important information and disclosures on the program, please visit <https://boltonglobal.com/doc/sweep-program-disclosure-statement.pdf>. The client can find out what additional money market funds are currently available by contacting their financial advisor. A money market fund is not insured or guaranteed by the Federal Deposit Insurance Corporation or any other government agency, and that although each money market fund seeks to preserve the value of client's investment at \$1.00 per share, it is possible to lose money by investing in a money market fund.

- 16. ARBITRATION DISCLOSURES:** This agreement contains a predispute arbitration clause. By signing an arbitration agreement, the parties (Bolton, undersigned and/or client) agree as follows:

- (A) 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.
- (B) Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.
- (C) The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.
- (D) The arbitrators do not have to explain the reason(s) for their award unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the panel at least 20 days prior to the first scheduled hearing date.
- (E) The panel of arbitrators may include a minority of arbitrators who were or are affiliated with the securities industry.
- (F) 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.
- (G) The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

SECURITIES CLEARED AND ACCOUNTS HELD THROUGH BNY MELLON PERSHING, A BANK OF NEW YORK MELLON COMPANY

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MEMBER FINRA, SIPC

New Account Agreement - Terms, Conditions & Disclosures

- 17. AGREEMENT TO ARBITRATE CONTROVERSIES:** IT IS AGREED THAT ANY CONTROVERSY BETWEEN THE PARTIES (Bolton, the undersigned and/or the client) ARISING OUT OF THE PARTIES BUSINESS OR THIS AGREEMENT SHALL BE SUBMITTED TO ARBITRATION CONDUCTED BEFORE ANY NATIONAL SECURITIES EXCHANGES ON WHICH A TRANSACTION GIVING RISE TO SUCH CLAIM TOOK PLACE (AND ONLY BEFORE SUCH EXCHANGE) OR THE NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC. AND IN ACCORDANCE WITH ITS RULES. ARBITRATION MUST BE COMMENCED BY SERVICE UPON THE OTHER PARTY A WRITTEN DEMAND FOR ARBITRATION OR A WRITTEN NOTICE OF INTENTION TO ARBITRATE. NO PERSON SHALL BRING A PUTATIVE OR CERTIFIED CLASS ACTION TO ARBITRATION, NOR SEEK TO ENFORCE ANY PRE DISPUTE ARBITRATION AGREEMENT AGAINST ANY PERSON WHO HAS INITIATED IN COURT A PUTATIVE CLASS ACTION; OR WHO IS A MEMBER OF A PUTATIVE CLASS ACTION WHO HAS NOT OPTED OUT OF THE CLASS WITH RESPECT TO ANY CLAIMS ENCOMPASSED BY THE PUTATIVE CLASS ACTION UNTIL: (I) THE CLASS CERTIFICATION IS DENIED, (II) THE CLASS ACTION IS DECERTIFIED; OR (III) THE CLIENT 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 TO THE EXTENT STATED HEREIN.
- 18. TRUSTED CONTACT:** By providing contact information for a "Trusted Contact" client authorizes Bolton or one of its associated persons to contact this individual. Bolton may disclose information regarding client account to the "Trusted Contact" in an effort to verify important information in the event that client is unreachable, or as Bolton sees necessary to prevent fraudulent activity and financial exploitation. The "Trusted Contact" is meant to be a resource benefitting client and Bolton in efforts to keep your account protected. Bolton may choose, but is not required, to notify the "Trusted Contact" of his or her designation.
- 19. ACCOUNT SUMMARY AND CONSOLIDATED ACCOUNT STATEMENTS:** The undersigned acknowledges that he or she has been made aware of Bolton's Account Summary and Consolidated Account Statement disclosure, which can also be found at <https://boltonglobal.com/doc/BGC-consolidated-reports.pdf>. Additionally, the undersigned acknowledges and agrees that neither Account Summaries nor Consolidated Account Statements are official records of client's holdings or transactions and further agrees to a release of all claims, its employees, and representatives, relative to the validity of data contained in the reports.
- 20. ANTI-MONEY LAUNDERING CERTIFICATION:** The client understands that US financial institutions are required to report to FinCEN, without notice to client, any transaction which it knows, suspects, or has reason to suspect involves funds derived from illegal activity or is intended to hide or disguise funds or assets derived from illegal activity including the ownership, nature, source, location, or control of such funds or to violate or evade any Federal law or regulation. Client also acknowledges that Bolton Global may refuse to process and may report any transaction which appears to have no business or lawful purpose or is not the sort in which the account holder (client) would normally be expected to engage, and there is not a reasonable explanation for the transaction after examining the available facts, including the background and possible purpose of the transaction. By signing the New Account Agreement, the account holder (client) certifies that all positions including cash instruments transferred to the account at inception and thereafter have been acquired by legal means and derived from legal activities and that the account has not been established for any unlawful purpose.
- 21. CERTIFICATION OF BENEFICIAL OWNER(S) OF LEGAL ENTITY CLIENTS:** For purposes of this form, a **legal entity** includes a corporation, limited liability company, personal investment company ("PIC"), or other entity that is created by a filing of a public document with a Secretary of State or similar office, a general partnership, and any similar business entity formed in the United States or a foreign country. **Legal Entity** does not include sole proprietorships, unincorporated associations, or natural persons opening accounts on their own behalf.

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MEMBER FINRA, SIPC

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Términos, condiciones, divulgaciones y acuerdo de nueva cuenta

- 1. DISPOSICIONES EN CASO DE FALTA DE PAGO O ENTREGA:** Si quien suscribe el presente no paga en la fecha de cancelación o antes la totalidad de cualquier título valor adquirido con relación a la cuenta de quien suscribe ("quien suscribe" incluye a cualquier persona que firme este acuerdo y puede ser denominado "cliente" en el presente), o no entrega un título valor vendido con relación a dicha cuenta, Bolton Global Capital Corporation ("Bolton") está autorizado (sujeto a las disposiciones de las leyes, normas o reglamentos aplicables) a hacer lo siguiente:
 - (A) Hasta el pago o entrega en su totalidad, prender, volver a prender, hipotecar, volver a hipotecar, sin notificación, todos o cualquiera de los títulos valores que Bolton o el agente de compensación de Bolton custodiaron en nombre de quien suscribe el presente (ya sea en forma individual o en conjunto con otros); por separado o en conjunto con otros títulos valores o commodities o cualquier otro bien, por la suma entonces adeudada o por una suma mayor o menor y sin retener en posesión o control de Bolton la entrega de un monto similar de títulos valores similares.
 - (B) Vender todos o cualquiera de los títulos valores que Bolton o el agente de compensación de Bolton custodiaron en nombre de quien suscribe el presente (ya sea en forma individual o en conjunto con otros), comprar todos o cualquiera de los títulos valores necesarios para hacer entregas con relación a la cuenta de quien suscribe el presente, o cancelar todos o cualquiera de los pedidos o compromisos pendientes por cuenta de quien suscribe el presente.
- 2. DISPOSICIONES DE CANCELACIÓN, CIERRE Y RESCISIÓN:** Bolton, a su discreción, en el supuesto de que el infrascrito fallezca o de que Bolton así lo considere necesario, por cualquier motivo y sin previo aviso, tiene la autorización de (i) liquidar de forma total o parcial las tenencias de las cuentas del infrascrito; (ii) cancelar cualquier orden pendiente en las cuentas del infrascrito de forma total o parcial; (iii) cancelar cualquiera de los compromisos establecidos en nombre del infrascrito y (iv) cancelar cualquiera de las cuentas del infrascrito al emitir un cheque por el monto liquidado de las cuentas al infrascrito, enviándolo a la dirección de registro de las cuentas.
- 3. DISPOSICIONES RELACIONADAS CON LA CANCELACIÓN:** Bolton está autorizado, según lo estime conveniente, si quien suscribe el presente fallece o si Bolton por cualquier motivo lo estima necesario para su protección, sin notificación, a cancelar cualquier pedido pendiente para cerrar las cuentas de quien suscribe el presente, en su totalidad o en parte, o cancelar cualquiera de los compromisos realizados en representación de quien suscribe el presente.
- 4. DISPOSICIONES GENERALES:** Toda venta, compra o cancelación autorizada por medio del presente se puede realizar, según Bolton lo estime conveniente y a su discreción, en la bolsa de valores u otro mercado en donde se realice habitualmente esa operación, por subasta pública o venta pública sin publicación ni notificación, antes de la oferta, demanda o aviso, y Bolton puede comprar la totalidad o una parte de esos títulos valores sin ningún derecho de rescate, y quien suscribe el presente seguirá siendo responsable por cualquier deficiencia. Se entiende además que toda notificación, previa a la oferta, demanda o aviso que haga Bolton no se considerará una dispensa de ninguna de las disposiciones de este acuerdo.
- 5. SUCESORES:** Este acuerdo y sus disposiciones serán continuos y en beneficio de la organización actual de Bolton, y cualquier organización sucesora o cesionarios, y será exigible para quien suscribe el presente y/o la sucesión, los albaceas, administradores y cesionarios de quien suscribe el presente.
- 6. EDAD:** Quien suscribe el presente, de ser una persona física, declara que es mayor de edad.
- 7. PARTICIPACIÓN EN LA CUENTA:** Nadie, excepto quien suscribe el presente, posee una participación en ninguna de sus cuentas con Bolton, salvo que dicha participación figure en el título de dicha cuenta y, en cualquier caso, quien suscribe el presente tiene la participación que se indica en ese título.
- 8. PEDIDOS Y DECLARACIONES:** Los informes de ejecución de pedidos y declaraciones de la(s) cuenta(s) de quien suscribe el presente serán definitivos si no se objetaran por escrito, dentro de un período de dos días en el primer caso y diez días en el segundo caso, después de ser remitidos por Bolton a quien suscribe el presente por correo o de otra manera.
- 9. EVENTOS EXTRAORDINARIOS:** Bolton no será responsable por pérdidas ni demoras ocasionadas directa o indirectamente por guerras, desastres naturales, restricciones gubernamentales, restricciones cambiarias o normas de mercado, u otras condiciones que se encuentren fuera del control de Bolton.
- 10. CARGOS, COSTOS Y DIVULGACIONES IMPORTANTES CON RESPECTO A SU CUENTA:** Quien suscribe el presente acepta los cargos y costos del cronograma de cargos que puede consultar en <http://boltonglobal.com/doc/ScheduleOfServiceFees.pdf> u obtener si se comunica al teléfono (978) 779-5361. Bolton puede cambiar el cronograma de cargos de manera periódica sin previo aviso. Además, quien suscribe el presente reconoce y comprende que puede y debería consultar las divulgaciones importantes con respecto a la cuenta en <http://boltonglobal.com/our-story/disclosures> o que puede obtenerlas si se comunica al teléfono (978) 779-5361. Finalmente, el firmante reconoce que se le ha proporcionado el formulario CRS de Bolton ubicado en https://boltonglobal.com/doc/CURRENT_BOLTON_FORM_CRS.pdf

CUENTAS CUSTODIADAS Y VALORES COMPENSADOS A TRAVÉS DE BNY MELLON PERSHING, UN BANCO DE NEW YORK MELLON COMPANY

Corredor de bolsa que presta el servicio: Bolton Global Capital, Inc. 579 Main Street, Bolton, MA 01740, (978) 779-5361

Miembro de la SIPC de la FINRA

Términos, condiciones, divulgaciones y acuerdo de nueva cuenta

11. CUENTAS CONJUNTAS: Si esta es una cuenta conjunta, salvo que quien suscribe el presente le notifique a Bolton lo contrario y proporcione la documentación, según Bolton lo requiera, la(s) cuenta(s) de corretaje será(n) custodiada(s) por Bolton de manera conjunta con derechos de beneficiario superviviente. Cada titular conjunto designa de manera irrevocable al otro como apoderado para tomar todas las medidas en su nombre y representarlo en todos los aspectos relacionados con este Acuerdo. Bolton estará protegido por completo al actuar, pero no tendrá obligación de hacerlo a instancias de ninguna de las personas que suscriben el presente. Quien suscribe el presente será responsable, de manera conjunta e individual, por cualquier monto adeudado a Bolton conforme a este Acuerdo ya sea que hubiera sido incurrido por cualquiera de las personas que suscriben o por ambas.

12. DOMICILIO: Las comunicaciones se podrán enviar a quien suscribe el presente al domicilio actual que figure en la oficina de Bolton o a cualquier otro domicilio que quien suscribe le indique en adelante a Bolton por escrito. Todas las comunicaciones enviadas a ese domicilio, ya sea por correo, telégrafo o mensajero, o por otro medio, se considerarán realizadas a quien suscribe el presente en forma personal, ya sea que las haya recibido efectivamente o no.

13. NOTA ESPECIAL PARA LAS CUENTAS NO ESTADOUNIDENSES: Con respecto a los activos que Pershing custodia en nombre del cliente, el cliente reconoce que los ingresos y las ganancias de capital o distribuciones que obtenga de esta cuenta pueden estar sujetos a impuestos en su jurisdicción local. El cliente reconoce ante Bolton y ante Pershing que ha obtenido por su cuenta asesoramiento fiscal al respecto.

14. GRABACIÓN DE CONVERSACIONES: Quien suscribe el presente comprende y acepta que para protección mutua Bolton puede registrar de manera electrónica cualquiera de nuestras conversaciones telefónicas.

15. DEFINICIONES DE EXPOSICIÓN AL RIESGO: Usted, el cliente, debe considerar con atención cuál será su exposición al riesgo declarada conforme a las siguientes definiciones:

Baja: Deseo preservar mi capital inicial en esta cuenta, con riesgo mínimo, incluso si ello significa que esa cuenta no genera ingresos o retornos significativos y es posible que no compense la inflación.

Moderada: Estoy dispuesto a aceptar algún riesgo para mi capital inicial y tolero cierta volatilidad para obtener retornos más altos, y entiendo que podría perder una parte de mi dinero invertido.

Especulación: Estoy dispuesto a aceptar un alto riesgo para mi capital inicial, incluso alta volatilidad para obtener retornos altos a lo largo del tiempo, y entiendo que podría perder una parte sustancial del dinero invertido.

Riesgo alto: Estoy dispuesto a aceptar el máximo riesgo para mi capital inicial para obtener agresivamente retornos máximos, y entiendo que podría perder la mayoría de mi dinero invertido o todo.

16. PROGRAMA DE TRASPASO AUTOMÁTICO DE FONDOS (MONEY MARKET SWEEP): Si hubiera un programa de traspaso automático de fondos, Bolton establecerá y mantendrá posiciones en un fondo de mercado de dinero cuyas acciones se compran y rescaten automáticamente a través de la cuenta bursátil del cliente. El cliente comprende que tiene derecho a retirar su consentimiento para participar en el programa de traspaso automático de fondos o modificar la opción de fondo de mercado de dinero. Para conocer la lista actual de los fondos de mercado de dinero que se utilizan en el programa de traspaso automático, y obtener información y divulgaciones importantes sobre el programa, visite <https://boltonglobal.com/doc/sweep-program-disclosure-statement.pdf>. El cliente puede ver qué otros fondos de mercado de dinero están disponibles en la actualidad comunicándose con su asesor financiero. Federal Deposit Insurance Corporation ni ninguna otra dependencia gubernamental aseguran ni garantizan ningún fondo de mercado de dinero y, aunque cada fondo de mercado de dinero tiene como objetivo preservar el valor de la inversión del cliente a 1,00 USD por acción, es posible perder dinero al invertir en un fondo de mercado de dinero.

17. DIVULGACIONES DE ARBITRAJE: El presente acuerdo contiene una cláusula de arbitraje previo al conflicto. Al firmar un acuerdo de arbitraje, las partes (Bolton, quien suscribe el presente y/o el cliente) acuerdan lo siguiente:

- (A) Todas las partes del presente acuerdo ceden su derecho a demandarse unas a otras en un tribunal, incluso el derecho a juicio por jurado, excepto en la medida que lo dispongan las normas del foro de arbitraje en el que se presente una reclamación.
- (B) Los laudos arbitrales son, por lo general, definitivos y vinculantes; la capacidad de una de las partes de obtener una decisión contraria de un tribunal o modificar un laudo arbitral es muy limitada.
- (C) La capacidad de las partes de obtener documentos, declaraciones de testigos y otras pruebas es, por lo general, más limitada en el arbitraje que en las acciones judiciales.

CUENTAS CUSTODIADAS Y VALORES COMPENSADOS A TRAVÉS DE BNY MELLON PERSHING, UN BANCO DE NEW YORK MELLON COMPANY

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- (D) Los árbitros no tienen obligación de explicar el(s) motivo(s) de su resolución, a menos que, en un caso elegible, todas las partes hayan presentado al panel una solicitud conjunta para la explicación de una decisión al menos 20 días antes de la fecha de la primera audiencia programada.
- (E) El tribunal de árbitros puede incluir una minoría de árbitros que estuvieron o están afiliados al sector de los títulos valores.
- (F) Las normas de algunos foros de arbitraje podrán imponer límites de tiempo para presentar una reclamación a arbitraje. En algunos casos, una reclamación que no sea apta para arbitraje podrá ser presentada ante un tribunal judicial.
- (G) Las normas del foro de arbitraje en el que se presente la reclamación, y cualquier enmienda que se realice, se incorporarán al presente acuerdo.

18. ACUERDO DE ARBITRAJE DE CONTROVERSIAS: SE ACUERDA QUE TODA CONTROVERSIA ENTRE LAS PARTES (Bolton, quien suscribe el presente y/o el cliente) QUE SURJA DE LAS OPERACIONES DE ESTAS O ESTE ACUERDO SERÁ SOMETIDA A ARBITRAJE QUE SE REALIZARÁ ANTE LA BOLSA DE VALORES NACIONAL EN LA CUAL HUBIERA TENIDO LUGAR LA TRANSACCIÓN QUE DA ORIGEN A LA RECLAMACIÓN (Y SÓLO ANTE DICHA BOLSA), O NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC. Y CONFORME A SUS NORMAS. EL ARBITRAJE SE DEBE INICIAR MEDIANTE NOTIFICACIÓN A LA OTRA PARTE POR ESCRITO DE LA SOLICITUD DE ARBITRAJE O NOTIFICACIÓN POR ESCRITO DE LA INTENCIÓN DE INICIAR UN PROCESO DE ARBITRAJE. NINGUNA PERSONA PRESENTARÁ UNA DEMANDA COLECTIVA PUTATIVA O CERTIFICADA A ARBITRAJE NI BUSCARÁ IMPOSER UN ACUERDO DE ARBITRAJE EN CASO DE CONFLICTO A UNA PERSONA QUE HAYA INICIADO UNA DEMANDA COLECTIVA PUTATIVA EN UN TRIBUNAL, O QUE SEA MIEMBRO DE UNA CLASE PUTATIVA Y QUE NO HUBIERA ABANDONADO LA CLASE RESPECTO DE CUALQUIER RECLAMACIÓN ALCANZADA POR LA DEMANDA COLECTIVA PUTATIVA HASTA QUE: (I) SE NIEGUE LA CERTIFICACIÓN DE LA CLASE, (II) SE ANULE LA CERTIFICACIÓN DE LA CLASE; O (III) EL TRIBUNAL EXCLUYA AL CLIENTE DE LA CLASE. Dicha Tolerancia para Imponer un Acuerdo de Arbitraje no Constituirá una Renuncia a Ningún Derecho en Virtud del Presente Acuerdo en la medida establecida aquí.

19. CONTACTO DE CONFIANZA: Al proporcionar la información de contacto de un "Contacto de confianza", el cliente autoriza a Bolton o una de las personas vinculadas a Bolton a comunicarse con este contacto. Bolton puede divulgar información relacionada con la cuenta del cliente al "Contacto de confianza" en un esfuerzo por verificar información importante en caso de que no sea posible comunicarse con el cliente, o según Bolton lo considere necesario, para prevenir la actividad fraudulenta y la explotación financiera. El "Contacto de confianza" está concebido como un recurso que beneficie al cliente y a Bolton en un esfuerzo por mantener su cuenta protegida. Bolton puede elegir notificar al "Contacto de confianza" que usted designe, pero no tendrá obligación de hacerlo.

20. RESUMEN DE CUENTA Y ESTADOS DE CUENTA CONSOLIDADOS: Quien suscribe el presente reconoce ha sido informado de la divulgación de Resumen de Cuenta y Estado de Cuenta Consolidado de Bolton, que también se puede encontrar en <https://boltonglobal.com/doc/BGC-consolidated-reports.pdf>. Asimismo, quien suscribe el presente reconoce y acepta que ni los Resúmenes de Cuenta ni los Estados de Cuenta Consolidados son registros oficiales de las tenencias u operaciones del cliente, y acepta además renunciar a toda reclamación contra los empleados y representantes con respecto a la validez de los datos incluidos en los informes.

21. CERTIFICACIÓN DE PREVENCIÓN DE LAVADO DE DINERO: El cliente comprende que las entidades financieras de los EE. UU. tienen la obligación de informar a la Red de Control de Crímenes Financieros (FinCEN), sin notificar al cliente, cualquier operación respecto de la cual sepa, o respecto de la cual sospeche o tenga motivos para sospechar, que involucra fondos obtenidos de actividades ilegales o que tiene el objetivo de ocultar fondos o activos obtenidos mediante actividades ilegales; incluida la propiedad, la naturaleza, la fuente, la ubicación o el control de dichos fondos; o infringir o evadir cualquier ley o norma federal. El cliente reconoce, asimismo, que Bolton Global podrá rehusarse a procesar y podrá informar cualquier operación que aparente no tener objetivos comerciales o legales, o que no sea del tipo de operación que se esperaría que realice el titular de la cuenta (cliente), y no haya explicación razonable para realizar la operación después de analizar los hechos disponibles, incluidos los antecedentes y el posible objetivo de la operación. Al firmar el Acuerdo de Nueva Cuenta, el titular de la cuenta (cliente) certifica que todas las posiciones que incluyan títulos en efectivo transferidos a la cuenta al momento de crearla y después han sido adquiridas por medios legales y surgen de actividades legales y que la cuenta no ha sido establecida con fines ilegítimos.

22. CERTIFICACIÓN DE BENEFICIARIO(S) DE CLIENTES QUE SON ENTIDADES JURÍDICAS: A efectos de este formulario, una **entidad jurídica** incluye una corporación, una sociedad de responsabilidad limitada, una sociedad de inversión personal (personal investment company, "PIC") u otra entidad que se cree mediante la presentación de un documento público ante la Secretaría de Estado o una oficina similar; una sociedad colectiva; y cualquier entidad comercial similar constituida en los Estados Unidos o en un país extranjero. **Entidad jurídica** no incluye empresas unipersonales, asociaciones sin personalidad jurídica ni personas físicas que abren cuentas en su propio nombre.

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New Account Agreement - Terms, Conditions & Disclosures

SIGNATURE PAGE / PAGINA DE FIRMA

Client Signature / Firma del Cliente

Date / Fecha

Print Client Name / Nombre del Cliente en letra de imprenta

Joint Client 1 Signature / Firma del Cliente Adjunto 1

Date / Fecha

Print Joint Client 1 Name / Nombre del Cliente Adjunto 1 en letra de imprenta

Joint Client 2 Signature / Firma del Cliente Adjunto 2

Date / Fecha

Print Joint Client 2 Name / Nombre del Cliente Adjunto 2 en letra de imprenta

Joint Client 3 Signature / Firma del Cliente Adjunto 3

Date / Fecha

Print Joint Client 3 Name / Nombre del Cliente Adjunto 3 en letra de imprenta

Joint Client 4 Signature / Firma del Cliente Adjunto 4

Date / Fecha

Print Joint Client 4 Name / Nombre del Cliente Adjunto 4 en letra de imprenta

Joint Client 5 Signature / Firma del Cliente Adjunto 5

Date / Fecha

Print Joint Client 5 Name / Nombre del Cliente Adjunto 5 en letra de imprenta

SECURITIES CLEARED AND ACCOUNTS HELD THROUGH BNY MELLON PERSHING, A BANK OF NEW YORK MELLON COMPANY

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