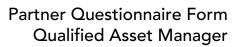


artner
Questio
⁹ artner Questionnaire Form - ¹
윽
7
7
7
7-0

1. PLACE AND DATE						
Place			Date			
2. QUALIFIED ASSET MANAG	EK INFO	DRMATION (ma	andatory)			
a. General Information						
Company						
Corporate name:						
Country:						
Registered address:						
Registered number:			E-mail:			
Day Phone Number:			Mobile Phone:			
Signatory 1						
First name:			Last name:			
Country of residence:						
Address:						
Date of birth:			E-mail:			
Day Phone Number:			Mobile Phone:			
Relationship to company:			,			
Signatory 2						
First name:			Last name:			
Country of residence:						
Address:						
Date of birth: E-mail:						
Day Phone Number:			Mobile Phone:			
Relationship to company:						
Individual						
First name:						
Last name:						
Country of residence:						
Address:						
Date of birth: E-mail:						
Day Phone Number:			Mobile Phone:			
b. Already client with Swissquote Ltd?						
Yes	No					
Type (Individual, IB, QAM, other?):						
Account number:						

SQ-D-UK-AM-01-10-EN_v1.0 1 / 4 | Page

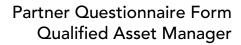


τ)
artner	
_	
⇉	
$\stackrel{\sim}{\sim}$	
Ψ	
_	
	١
\simeq	•
Ë	
Ü	
$\overline{\alpha}$	
Ξ	•
onr	
⊐	
⋾	
Questionnaire Form	
Ξ	•
ᆽ	
v	
т	1
Ö	•
×	
_	
_	
٠	
e Form - C	
<u>-</u>)
<u>-</u>)
<u>-</u>)
<u>-</u>	•
<u>-</u>)
<u>-</u>) -
<u>-</u>) -
<u>-</u>)
1 - Qualified /) <u>-:</u>

m	SWISSQUO)TE
---	----------	-----

c. Were you introduced by an Introducing Agent?	
Yes No	
Introducing Agent Name:	
TCA Number:	
3. PROFESSIONAL EXPERIENCE OF FINANCIAL MAI	RKETS (mandatory)
a. Are any regulatory license(s) required by the financial at	uthorities?
Yes No	
If yes, state which?	
Are you regulated? By whom?	
b. Website	
Yes No	
If yes, please indicate:	
Would you like to show our logo in your website? If so why?	
c. Please briefly describe the business activity:	
Nature of business, goals, geographic range, etc.:	
d. In addition mark with an ${\bf x}$ if you offer some of the follows:	wing services
Introducing clients/Agents Advisory T	raining Signals Alerts Web
Programming trading tools (e.g. Expert Advisor)	Others
e. Awards or similar recognition received:	
Yes No	
Details:	
f. Professional training undertaken:	
Details:	
g. Years of experience in:	
Finance:	Forex:
h. Are there any issues with clients, regulators or similar at	uthorities that we should know about?
Conflicts:	Cases in Courts:
i. Have you referred clients to other providers?	
Yes No	
Which providers?	

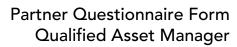
SQ-D-UK-AM-01-10-EN_v1.0 2 / 4 | Page



4. QAM BUSINESS MODE	L (mandatory)		
a. Country of residence of in	ntroduced clients:		
Countries of residence:		% of total client base	
b. Are you aware about risks	of cross border business?		
Yes	☐ No		
Details:			
c. Promotion of your service	s:		
Internet		Yes	No
Print media or TV		Yes	☐ No
Visits, phone calls, e-mails		Yes	No
d. What type of clients d individuals, institutional clien		to Swissquote Ltd (profession	onal or retail clients, HNW
Details:			
e. Promotion scheme of serv	vices		
		Active solicitation (Your network contacts clients, open advertising)	
5. EXPECTED COMMERCIAL ACTIVITY BETWEEN IB & SWISSQUOTE Ltd (mandatory)			
Expected number of clients	within:		
1 month:	3 months:	6 months:	1 year:
Expected average client initial investment per client (in GBP):			
Expected total net investment of clients after one year (in GBP):			
Expected total number of traded lots round turn per month for total of clients:			
	use, 63-64 New Broad Street London EC 20 7186 2601 info@swiss		

SQ-D-UK-AM-01-10-EN_v1.0

3 / 4 | Page



Par	
Partner C	
Ď	
lest	
ion	
Questionnaire Forn	
еF	
orm	
þ	
uali	
- Qualified ,	
S S	
Asset I	
Лападе	
yer	

m	SWISSQUOTI	E

6. ADDITIONAL INFORMATION (ma	ındatory)		
a. Do you plan to charge commission t	o your clients?		
Yes No			
If yes, please indicate how much per lo	t:		
b. What type of Fees would you be cha	rging to your clients	s?	
Fixed Fees			
Account Opening Fees			
Performance Fees			
Maintenance Fees			
c. Would you like to request a MAM Lie	cense?		
Yes No			
Why?			
d. Type of Trading model:			
Manual Trading	Expert Advisor		Hybrid
Place			Asset Manager
			•
Date			
Swissquote Ltd Boston House, 63-64 New I Tel +44 (0)20 7186 2600 Fax +44 (0)20 7186 2601	Broad Street London EC		squote.eu

SQ-D-UK-AM-01-10-EN_v1.0

4 / 4 | Page