

[AGORA direct Ltd. · 5 Prospect Place Millennium Way, Pride Park · Derby, DE24 8HG](#)

Postal address for your reply

AGORA direct Ltd.
5 Prospect Place
Millenium Way - Pride Park
Derby DE24 8HG / UK

Please send the following documents by post to: AGORA direct Ltd. · 5 Prospect Place Millennium Way, Pride Park · Derby, DE24 8HG or by e-mail to: account@agora-direct.co.uk

CHECK LIST:**Please check whether you have sent all the documents!**

A completed and signed application to open an account

When registering companies/stock exchange associations/stock exchange clubs – applies to the managing director/director/other person(s) authorised to issue directives

Please send us one of the following documents as **proof of identity**:

A copy of your **ID card** (*front and rear*) or

A copy of your **passport**

And **proof of your current address** (*not older than 6 months*):

A **current phone bill for a land line** (*not a mobile phone bill*) or

A **utilities bill** (e.g. electricity supplier) or

A copy of a **bank statement** with your **name** and **address** (*not a credit card statement*)

Proof of the company's current address (*not older than 6 months*):

A **current phone bill for a land line** (*not a mobile phone bill*) or

A **utilities bill** (e.g. electricity supplier) or

A copy of a **bank statement** with your **name** and **address** (*not a credit card statement*)

And **other documents pertaining to the company**:

An extract from the **commercial register** (*not older than 6 months*)

The **business registration** or the last **tax assessment** from the tax authorities

Trader authorisation

With a stock exchange association/stock exchange club:

The **private company contract**

A copy of the **list of names** and a **copy of the ID card/passport for each member** and a **personal phone or utilities bill** (*not older than 6 months*)

The **association register** or the **association's articles** (*not older than 6 months*)

INSTRUCTIONS TO OPEN AN ACCOUNT

Will be completed by AGORA direct Ltd.

Account no.:

Received as: Post E-mail Fax

PLEASE COMPLETE LEGIBLY
WITH CAPITAL LETTERS!

Instructions to open a stock exchange trading account (no minimum investment)

- Individual account/joint account
 Account for companies or associations, stock exchange clubs

Name of the institution:

Street: No.:

Postcode: Town:

Commercial register or tax no.:

Please note: please enter the details of the managing or executive director and/or other persons authorised to issue instructions under "Account/deposit holder" if the application is for companies or associations, stock exchange clubs etc.

Personal details of the beneficiary/beneficiaries:

1. Account/deposit holder Ms Mr**2. Account/deposit holder** Ms Mr

Surname:

Surname:

First name:

First name:

Street: No.:

Street: No.:

Postcode: Town:

Postcode: Town:

Federal state:

Federal state:

Country:

Country:

Nationality:

Nationality:

Date of birth: DD | MM | YYYY

Date of birth: DD | MM | YYYY

Country of birth:

Country of birth:

 Single Married Divorced Widowed Single Married Divorced WidowedNumber of Dependents: 0 1 2 3 4 5+ Number of Dependents: 0 1 2 3 4 5+

ID card/passport number:

ID card/passport number:

Mother's maiden name:

Mother's maiden name:

for possible identification according to international standards

for possible identification according to international standards

Phone:

Phone:

Fax:

Fax:

Mobile:

Mobile:

E-mail:

E-mail:

In the case of associations, stock exchange clubs etc., please indicate your position in the company, association, club.

Position:

e.g. Managing Director/Chairman/Treasurer/etc.

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e.g. Managing Director/Chairman/Treasurer/etc.

AGORA direct Ltd.
Tel: +44 (1332) 895 070
E-mail: info@agora-direct.co.uk
Web: http://www.agora-direct.co.uk

Registered Office:
AGORA direct Ltd.
5 Prospect Place Millennium Way, Pride Park
Derby, DE24 8HG
United Kingdom

Postal Address:
AGORA direct Ltd.
5 Prospect Place Millennium Way, Pride Park
Derby, DE24 8HG
United Kingdom

Operational Address:
AGORA direct Ltd.
Markus Nowatzki
Flat 1, 191 Burton Road
Derby DE23 6AB, United Kingdom

Alternative address for sending documents (Only if needed – otherwise leave blank)

Ms Mr Firm Name of company:
 First name: Surname:
 Street: No.:
 Postcode: Town:

Details of occupation:
1. Account/deposit holder

Occupation:
 Position:
e.g. Managing Director/Employee/Self-employed/etc.
 Sector:
 Employer (firm name):
 Street: No.:
 Postcode: Town:
 Country:

2. Account/deposit holder

Occupation:
 Position:
e.g. Managing Director/Employee/Self-employed/etc.
 Sector:
 Employer (firm name):
 Street: No.:
 Postcode: Town:
 Country:

Details and information on opening an account

The following pages request details and information from you; this is essential so that you can apply to open an account via AGORA direct Ltd. If you cannot provide any of the information requested below or if you do not satisfy the applicable minimum requirements, it will not be possible to process your instructions to open an account.

To guard against insider trading, we ask you to provide the following details.

Are you a member of the management board, do you own more than 10% of the shares or do you have a position on the supervisory board of a company where the shares are traded publicly?

Yes No

Are you or a direct family member an employee, a director or owner of a bank or a brokerage company or are you a registered trader or agent?

Yes No

Have you been or are you still involved in a legal dispute with a broker, agent or stock exchange?

Yes No

Are you a member of a stock exchange, a regulating body or an associated self-regulation organisation?

Yes No

Do you have to pay taxes in the USA (United States of America)?

Yes No

Declaration to prevent money laundering and funding for terror organisations

I/we hereby specifically declare that the account, which I/we have applied to open, shall only be managed for the account of the holder(s). All cash amounts and/or securities or other assets, which are paid in, are only for the account of the account holder(s).

The applicant(s) to open an account hereby declare(s) that he/they are acting for their own account:

Yes No

If you answered NO to the question, on whose behalf are you acting?

I/we am/are not acting in my/our own name and account, but I/we are acting for:

Ms Mr Company, stock exchange association or club

Name of company/stock exchange association or club:

First name: Surname:

Street: No.:

Postcode: Town:

The account should be managed in the following base currency:

British pounds £ Euros € US dollars \$ Swiss francs Fr

or the following currency: (Please enter the currency abbreviation here)

Please note: Generally, the account is always managed as a multi-currency account in the interests of the customer. A multi-currency account allows customers to manage the account in one currency and trade stock exchange products in one or several other currencies without making a currency change beforehand. As a result, you can respond to market situations around the globe in seconds. If you have credit of at least USD 2,000 (or the equivalent in a different currency), a margin loan may also be made available to you by the account-holding broker, if required.

This trading in other currencies creates debit or credit items in the foreign currency; the re-exchange back into the base currency **only** takes place **if instructions are received from the account holder** and not automatically. A margin account (also called a collateral account) provides you with more flexibility, if you require this and the market situation allows it. Please note that any margin loans used are subject to interest payments. Stock exchange transactions on margin loans (credit) are very risky. Please consider the possible risks involved here.

Accounts designated in GBP are held in the name of Interactive Brokers LLC at the Citibank, N.A. (London Branch), London/UK. You will be provided with further information about paying-in and paying-out methods and bank transfers in other currencies immediately after we have received your full application to open an account or if you request this information.

W8-BEN Form

The W8-BEN form acts as a declaration for the US tax authorities that you do not have to deduct any taxes if you are able to answer these questions with NO.

Do you have a Green Card (USA)?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Do you spend more than 183 days as year in the USA (including planned stays)?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is your main place of residence in the USA?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Do you have US American citizenship (possibly dual nationality)?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Have you been assessed for taxation with a US marriage partner in the USA?	<input type="checkbox"/> Yes <input type="checkbox"/> No

Assessment of appropriateness

In order to process your application it is necessary for us to satisfy ourselves that the services and products you are seeking to access are appropriate for you. This assessment requires us to evaluate your level of knowledge and experience of the type of products and trading you intend to engage in and your capacity to absorb losses. We require the information set out in the following sections for purposes of this assessment.

It is very important that you provide truthful and accurate information so that we can complete an accurate assessment of appropriateness. Failure to do so could mean that we process your application on an incorrect basis such that you are exposed to risks that you do not expect and which are not appropriate for your level of investment experience, knowledge and financial situation. The information you provide will be treated with extreme confidentiality, will only be used for purposes of processing your account opening application and will only be disclosed to the account holding broker with your consent.

A detailed explanation of the potential risks associated with online trading activity and the types of products you might be able to access and trade through an online trading account can be found in the "Risk Information & Protection Statement" located in the "Security" section of our website. In summary, the key risks to be aware of, and which you must be comfortable potentially being exposed to, are:

1. The value of your investments can go down as well as up and you may not get back the full amount of capital you invest;
2. Movements in the price of financial instruments can be volatile and unpredictable, sudden shifts in price can result in substantial losses;
3. Market liquidity can fluctuate significantly and rapidly;
4. Insolvency or financial default of other parties involved in transactions with you can, in certain situations, result in the complete loss of your investments;
5. Online trading is susceptible to failures of hardware, software and connections, which can jeopardise execution of your trading orders;
6. Leverage or gearing can result in increased volatility and increase potential losses and margin calls; and
7. Transaction costs can reduce investment returns.

If you do not feel comfortable that you fully understand the risks outlined above, you must carefully review the "Risk Information and Protection Statement" on our website before proceeding. If, after reading the statement you are still unclear or uncomfortable, we strongly recommend that you seek independent advice before proceeding.

Your investment experience and knowledge

As part of our assessment of appropriateness, we need to understand the level of your past investment experience. Please answer the following questions accurately.

General level of investment experience

- None Novice (up to 2 years) Intermediate (2-5 years) Extensive (more than 5 years)

Source of experience

1. Was your experience obtained by engaging in trading and investment activities on:
 An advised basis (i.e. you took professional investment advice before making investment decisions)
 A non-advised basis (i.e. you made investment decisions based on your own knowledge/views on the market without first taking professional investment advice); or
 A mixed basis (i.e. some of your investment decisions were made on an advised basis and some on a non-advised basis)?
2. What platform(s) have you traded on?
3. What investment software have you used previously?

Product-specific investment experience

	Years trading experience	Number of trades per year	Knowledge Level (check one for each product type)
Stocks	<input type="checkbox"/> 1-10	<input type="checkbox"/> 11-25 <input type="checkbox"/> >25	<input type="checkbox"/> None <input type="checkbox"/> Novice (up to 2 yrs) <input type="checkbox"/> Intermediate (2-5 yrs) <input type="checkbox"/> Extensive (more than 5 yrs)
Bonds	<input type="checkbox"/> 1-10	<input type="checkbox"/> 11-25 <input type="checkbox"/> >25	<input type="checkbox"/> None <input type="checkbox"/> Novice (up to 2 yrs) <input type="checkbox"/> Intermediate (2-5 yrs) <input type="checkbox"/> Extensive (more than 5 yrs)
ETFs (exchange traded funds)	<input type="checkbox"/> 1-10	<input type="checkbox"/> 11-25 <input type="checkbox"/> >25	<input type="checkbox"/> None <input type="checkbox"/> Novice (up to 2 yrs) <input type="checkbox"/> Intermediate (2-5 yrs) <input type="checkbox"/> Extensive (more than 5 yrs)
Options	<input type="checkbox"/> 1-10	<input type="checkbox"/> 11-25 <input type="checkbox"/> >25	<input type="checkbox"/> None <input type="checkbox"/> Novice (up to 2 yrs) <input type="checkbox"/> Intermediate (2-5 yrs) <input type="checkbox"/> Extensive (more than 5 yrs)
Futures	<input type="checkbox"/> 1-10	<input type="checkbox"/> 11-25 <input type="checkbox"/> >25	<input type="checkbox"/> None <input type="checkbox"/> Novice (up to 2 yrs) <input type="checkbox"/> Intermediate (2-5 yrs) <input type="checkbox"/> Extensive (more than 5 yrs)
CFDs (contracts for difference)	<input type="checkbox"/> 1-10	<input type="checkbox"/> 11-25 <input type="checkbox"/> >25	<input type="checkbox"/> None <input type="checkbox"/> Novice (up to 2 yrs) <input type="checkbox"/> Intermediate (2-5 yrs) <input type="checkbox"/> Extensive (more than 5 yrs)
Forex	<input type="checkbox"/> 1-10	<input type="checkbox"/> 11-25 <input type="checkbox"/> >25	<input type="checkbox"/> None <input type="checkbox"/> Novice (up to 2 yrs) <input type="checkbox"/> Intermediate (2-5 yrs) <input type="checkbox"/> Extensive (more than 5 yrs)

Source of investment knowledge

- Have you ever been engaged in investment activities on a professional basis?
If so, please specify the number of years of employment.
- Do you hold any investment or financial services qualifications (for instance CISI or CII qualifications)? If so, please specify the highest level of qualification you have achieved from the following:

<input type="checkbox"/> PHD or equivalent	<input type="checkbox"/> Professional qualification (CISI etc.)
<input type="checkbox"/> Masters' Degree or equivalent	<input type="checkbox"/> Bachelor's Degree or equivalent

Your trading intentions

As part of our assessment of the appropriateness for you of the services and products you are seeking to access, we need to understand your trading intentions and investment goals.

Please select your investment goal(s) from:

- Preservation of Capital Income Growth Trading Profits Speculation Hedging

If you are in any doubt as to the meaning of any of these investment goals, we provide further explanation in our Risk Information and Protection statement, which can be viewed on our Website (<https://www.agora-direct.com/uk/security/>) If, after reading the Risk Information and Protection Statement, you are still in doubt as to how to identify your trading goals or do not feel you fully understand all of the risks associated with online trading, you should take independent advice before proceeding with your application.

Your financial situation

As part of our assessment of the appropriateness for you of the services and products you are seeking to access, we need to understand your financial situation and your ability to absorb losses.

Estimated assets (excluding value of residence)

Up to GBP 50,000 GBP 50,001 to 75,000 GBP 75,001 to 100,000 More than GBP 100,000

Available liquid funds

Up to GBP 50,000 GBP 50,001 to 75,000 GBP 75,001 to 100,000 More than GBP 100,000

Estimated net income

Up to GBP 50,000 GBP 50,001 to 75,000 GBP 75,001 to 100,000 More than GBP 100,000

Your trading intentions:

The final part of our assessment of appropriateness is to establish your trading intentions so that we can ensure that your intentions are compatible with your experience, knowledge and financial situation.

Products	Planned purchases / sales per annum		
Shares	<input type="checkbox"/> Up to 30	<input type="checkbox"/> Up to 50	<input type="checkbox"/> More than 51
ETF's (funds traded on a stock exchange)	<input type="checkbox"/> Up to 30	<input type="checkbox"/> Up to 50	<input type="checkbox"/> More than 51
Options/warrants	<input type="checkbox"/> Up to 30	<input type="checkbox"/> Up to 50	<input type="checkbox"/> More than 51
Futures	<input type="checkbox"/> Up to 30	<input type="checkbox"/> Up to 50	<input type="checkbox"/> More than 51
Currencies	<input type="checkbox"/> Up to 30	<input type="checkbox"/> Up to 50	<input type="checkbox"/> More than 51
Bonds	<input type="checkbox"/> Up to 30	<input type="checkbox"/> Up to 50	<input type="checkbox"/> More than 51
CFD's (contracts for difference)	<input type="checkbox"/> Up to 30	<input type="checkbox"/> Up to 50	<input type="checkbox"/> More than 51
Certificates	<input type="checkbox"/> Up to 30	<input type="checkbox"/> Up to 50	<input type="checkbox"/> More than 51

