

AGORA direct™ · Postfach 304235 · 10757 Berlin

### Reply To – Postal Address

AGORA direct™  
Zentrale Postannahme  
Postfach 304235  
10757 Berlin/Deutschland

Please send the following documents by post to: AGORA direct™ | Postfach: 304235 | 10757 Berlin or via E-Mail to: [info@agora-direct.de](mailto:info@agora-direct.de)

## 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, gas, or water) or  
an **income tax assessment** or  
a **registration certificate** (e.g. official proof of address) 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, gas, or water) 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)

**First Quant GmbH**  
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Fax: +49 (030) 789 59 75 - 99  
E-Mail: [info@agora-direct.de](mailto:info@agora-direct.de)  
Website: [www.agora-direct.com](http://www.agora-direct.com)

Postal Address:  
AGORA direct™  
First Quant GmbH  
Postfach 304 235  
10757 Berlin

**Registered office:**  
Schwäbische Str. 5  
10781 Berlin  
Deutschland/Germany  
GF: Sven v. Aderkass & Wieland Steinich

Reg. Amtsgericht Charlottenburg HRB 260701B  
BaFin-Reg.Nr.: 123328  
USt-ID-Nr. §27a UstG DE268157599

# INSTRUCTIONS TO OPEN AN ACCOUNT

Will be completed by AGORA direct™

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.: ..... LEI-No.: .....

- ☐ I do not yet have a LEI-number. Please apply for an LEI-number in my name for a payable fee of USD 161.

*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

Surname: .....

First name: .....

Street: ..... No.: .....

Postcode: ..... Town: .....

Federal state: .....

Country: .....

Nationality: .....

Date of birth: ..... DD ..... MM ..... YYYY

Country of birth: .....

☐ Single ☐ Married ☐ Divorced ☐ Widow(er)

☐ ID card ☐ passport ☐ driving licence

Document number: .....

Mother's maiden name: .....

*or possible identification according to international standards*

Phone: .....

Fax: .....

Mobil: .....

E-mail: .....

### 2. Account/deposit holder ☐ Ms ☐ Mr

Surname: .....

First name: .....

Street: ..... No.: .....

Postcode: ..... Town: .....

Federal state: .....

Country: .....

Nationality: .....

Date of birth: ..... DD ..... MM ..... YYYY

Country of birth: .....

☐ Single ☐ Married ☐ Divorced ☐ Widow(er)

☐ ID card ☐ passport ☐ driving licence

Document number: .....

Mother's maiden name: .....

*or possible identification according to international standards*

Phone: .....

Fax: .....

Mobil: .....

E-mail: .....

## In the case of associations, stock exchange clubs etc., please indicate your position.

Position: .....

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

Position: .....

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

#### First Quant GmbH

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Website: [www.agora-direct.com](http://www.agora-direct.com)

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

☐ Ms ☐ Mr ☐ Firm Name of company: .....  
 First name: ..... Surname: .....  
 Street: ..... No.: .....  
 Postcode: ..... Town: ..... Federal State: ..... Country: .....

**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: .....  
 Federal state: .....  
 Country: .....

**2. Account/deposit holder**

Occupation: .....  
 Position: .....  
*e.g. Managing Director/Employee/Self-employed/etc.*  
 Sector: .....  
 Employer (firm name): .....  
 Street: ..... No.: .....  
 Postcode: ..... Town: .....  
 Federal state: .....  
 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. We would specifically point out here that if you cannot provide any details on the following points or if the minimum requirements do not match your risk and investment profile, it will not be possible to process your instructions to open an account.**

**Powers of disposition with joint accounts:** With regard to the business relations between us, the account holders and the broker managing the account or the agent that it has commissioned, we hereby mutually authorise sole powers of representation. These powers over the account can be revoked by one of the account holders at any time, although we must be informed about this immediately and, because of the need to provide proof, must be in writing. If one party with sole powers of representation revokes the authority to act alone, the account holders can only dispose of the account together and in writing.

**To guard against insider trading, we ask you to provide the following details.**
**1. Account/deposit holder**
**2. Account/deposit holder**

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 in a company where the shares are traded publicly?

☐ Yes ☐ No

☐ 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

☐ Yes ☐ No

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

☐ Yes ☐ No

☐ Yes ☐ No

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

☐ Yes ☐ No

☐ Yes ☐ No

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

☐ Yes ☐ No, liable for taxes in: ..... ☐ Yes ☐ No, liable for taxes in: .....

US-Tax ID: ..... US-Tax ID: .....

## 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:

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

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

Intended deposit amount: .....

**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 will also be made available to you, 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.

Depositing funds in euros takes place with the Citigroup Global Markets Deutschland AG & Co. KGaA bank. You will obtain further information about paying-in and paying-out modalities and bank transfers in other currencies immediately after we have received your full application to open an account or if you request this information.

## Assessing your financial situation

We would ask you to assess your financial circumstances below. These details are naturally voluntary. We assume that the lawmakers and we are aware that financial situations can change at short notice. These details will not be checked by us or any third parties at any time. Nevertheless, we cannot process this application to open an account without your estimate. The information will be treated with extreme confidentiality and naturally only used for the legally prescribed risk classification process.

### Estimated assets

☐ Up to EUR 50,000   ☐ Up to EUR 75,000   ☐ Up to EUR 100,000   ☐ More than EUR 100,001

### Available liquid funds

☐ Up to EUR 50,000   ☐ Up to EUR 75,000   ☐ Up to EUR 100,000   ☐ More than EUR 100,001

### Estimated annual income

☐ Up to EUR 50,000   ☐ Up to EUR 75,000   ☐ Up to EUR 100,000   ☐ More than EUR 100,001

### Estimated net income

☐ Up to EUR 50,000   ☐ Up to EUR 75,000   ☐ Up to EUR 100,000   ☐ More than EUR 100,001

Please note that, for your own safety, you may only use assets to trade on the stock exchange, which are not required to settle liabilities or for your daily livelihood. For information purposes: your cash deposits, your securities and other assets are kept completely separately from the broker's liability capital, as prescribed in the law.

## Please inform us of your trading intentions here

Various national statutory regulations and international agreements require us to obtain the following information of the purpose of the financial transactions of the person applying to open an account. The prescribed authorities justify this by saying that this information is partly in the interests of the person applying to open an account.

### Please select your investment goal(s) from (several possible):

The so-called investment goal categories like "maintaining capital", "income" and "growth" are part of the "Trading profits" category, which specifically involves an increased readiness to take risks, and cannot be separately selected. Futures transactions are possible if you select "Trading profits".

Please note the corresponding risk information on the following pages. If you are unable to select any of these points, we cannot process the application to open an account for you.

☐ Trading profits including day trading   ☐ Speculative profits   ☐ Hedging

Product	Investment goal	Region
<input type="checkbox"/> Pensions/Funds/Shares/ETF's Share options/Index options	Trading profits incl. day trading: Profit expectations with an increased readiness to take risks with standard securities, average stocks and second-line stocks	Europe, America, Asia, Africa
<input type="checkbox"/> Options on futures/Futures Futures on individual shares	Speculative profits: very high profit expectations with very high readiness to take risks	Europe, America, Asia, Africa
<input type="checkbox"/> Currency trading	Speculative profits: very high profit expectations with very high readi- ness to take risks	Europe, America, Asia, Africa

### Investment experience

☐ Good, less than 5 years   ☐ Extensive, more than 5 years   ☐ None

## I / we want to trade in the following products:

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 / option certificates	<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 (difference contracts)	<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

### In addition to the normal risk information, we would specifically point out that EACH financial investment may be completely lost.

Financial investments at stock exchanges are subject to permanent fluctuations in market prices, predictable and unpredictable global events like natural disasters, political decisions, criminal acts, terrorist attacks, computer and Internet breakdowns, power cuts, nuclear accidents, faulty ratings, incorrect estimates by analysts, wrong reports by news agencies etc. and financial investments generally and stock exchange investments in particular may lead to complete losses at any time. Please take note of the following risk 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

## Investment security based on 5 pillars

If you have any questions about how the 5-pillar investment security system described below works, what is protected and how claims can be asserted if you suffer losses, please get in contact with us: [account@agora-direct.com](mailto:account@agora-direct.com) or phone us on stock exchange trading days between 9 a.m. and 6.30 p.m. on: +49 (030) 789 59 75-0.

This comprehensive, combined insurance protects customers' securities accounts through a combination of the five pillars described below.

### Pillar 1

#### Segregated deposits

All customer assets are managed as segregated (separated) assets. This means that monies, securities and other assets are, as required by regulators, separated and will be held separately from the liability assets belonging to the broker. This is and will be documented continuously. By carefully separating client assets from broker assets, client assets are protected for withdrawals in the case that the broker will fall into financial problems or even into insolvency.

According to this sophisticated corporate philosophy the broker will provide an additional surplus capital from his own capital into these separate segregated customer accounts. Thus more assets will be available to absolutely ensure the protection of all customers.

After regulatory provisos of the CFTC, a portion of customer deposits may be, as it is common practice with other providers too, invested in government bonds. However, given the uncertainties and credit risks in public debt no client funds in money market funds are currently invested.

### Pillar 2

#### Fidelity Liability Insurance

The fidelity liability insurance of the Euler Hermes SA secures 50,000.00 Euro per individual insured event for Agora Trading System Ltd. This covers damage caused by misconduct by employees of Agora Trading System Ltd. which occur in accordance with the insurance conditions.

### Pillar 3

#### Protection by SIPC

Securities Investor Protection Corporation, SIPC

The SIPC pays for the first 500,000 US Dollars per customer (including cash up to 250,000 US Dollars).

These include stocks, bonds, government bonds, certificates of deposit, mutual funds, money market funds, and other investments. The market value of stocks, options, warrants, liabilities and cash (in all possible currencies) is protected by this insurance. The SIPC does not protect any commodity futures contracts / commodities (futures, futures options and single stock futures). However, in order to benefit to the maximum from the SIPC insurance in these cases as well, the cash available is periodically transferred from the futures account (Commodities) to the securities account (Securities) and thus the customer benefits from the SIPC insurance to the maximum. The SIPC insurance offers protection against misconduct by a broker, but of course not against the loss of the market value of the investments made, i.e. products bought or sold.

The protection provided by the SIPC does not extend to so-called non-US index options and non-US index futures, as well as CFDs at any time. To ensure that these do not remain unsecured, an account regulated under British law is assigned to each trading account. The non-US index options and non-US index futures as well as CFDs are then traded separately via this UK-regulated account. As a result, the protection provided by the British FSCS deposit insurance takes effect. From this it follows a security for the UK regulated account of a maximum of 50,000.00 British pounds. Customers from the EEA have to accept legal restrictions<sup>1</sup>.

### Pillar 4

#### Lloyds of London (Lloyd's)

Lloyd's of London is a world leader in the insurance industry. Clients, who have full SIPC coverage, will receive an additional 29.5 million US Dollars (incl. cash up to USD 900,000.-) through Lloyd's police when required. This maximum amount is part of the comprehensive insurance limit of 150 million US Dollars.

### Pillar 5

#### Regulatory Equity/Rating

The IBKR Broker Association is rated "BBB+"; "Positive Outlook." The equity capital amounts to more than USD 9.0 billion, of which USD 6.9 billion are available as excess regulatory capital.

<sup>1</sup> Customers from the EEA are legally entitled to compensation of up to EUR 20,000.00, with a maximum of 90% of the deposit. Given the total capital of the IBKR brokerage association, which is 8.25 billion US Dollars and together with the strict margin guidelines that apply across all brokers, which include credit checks before an order is accepted and automatic account liquidations, who do not meet their margin requirements, it can be assumed that the security and stability of the assets of each individual client is consistently guaranteed. The IBKR broker association voluntarily holds an excess of its own capital (property) in separate reserve accounts to ensure that there is more than enough cash to protect all customers.

Current SEC regulations require that a detailed reconciliation of all client funds and securities be performed at least once a week to ensure that client assets are properly segregated from the broker's own funds. In order to protect customers' assets even better, the IBKR broker association has requested and received approval from FINRA (Financial Industry Regulatory Authority) to perform and report client asset reconciliation on a daily basis. IBKR broker association started these daily calculations in December 2011, along with daily adjustments to the funds that are securely held in custody for clients. The fact that the accounts are not only balanced weekly, but daily, is just one of many examples of efforts to offer customers the best possible protection.



## Liability, cooperation and activity information

### The work of AGORA Direct

AGORA direct<sup>TM</sup> is a trade mark of AGORA Trading System LIMITED (hereinafter referred to as AGORA direct).

AGORA direct<sup>TM</sup> offers the following activities as stock exchange transactions:

- Arranging accounts for persons, companies, associations, foundations with international brokers and banks, through which customers can handle their stock exchange transactions.
- Making available the necessary software and/or devices for stock exchange transactions.
- ☒ AGORA direct<sup>TM</sup> provides assistance with applying for accounts and information about trading in products on the stock exchange and how to handle them.
- Regulated financial services can be provided as part of the aforementioned permits by AGORA direct<sup>TM</sup>

In order to coordinate the services of AGORA direct<sup>TM</sup> in the best possible way, a combination of leading employees at AGORA direct<sup>TM</sup> and partner companies of AGORA direct<sup>TM</sup> may exist.

### Confirmations

**While opening the account I/we have read the price lists and I/we am/are aware of these.**

**I/We have read the following declarations, policies, instructions, rules, agreements, and disclosures during the account application process and approve of these with my/our signature/s:**

- |  |                             |
|--|-----------------------------|
| • Privacy policy                           | • Cancellation instructions |
| • Personal data collection declaration     | • Risk disclosures          |
| • Filed and disclosed rules and agreements |                             |

### 1. Account applicant or the authorised person of the company/association/stock exchange club

X

.....  
Date/place

.....  
Signature

### 2. Account applicant or the authorised person of the company/association/stock exchange club

X

.....  
Date/place

.....  
Signature

**Your message to us:** *Please enter any other information that you wish to pass on to us.*