



**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 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.****1. 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 of 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:

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

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 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)?	Yes	No
Do you spend more than 183 days as year in the USA (including planned stays)?	Yes	No
Is your main place of residence in the USA?	Yes	No
Do you have US American citizenship (possibly dual nationality)?	Yes	No
Have you been assessed for taxation with a US marriage partner in the USA?	Yes	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)			
		1-10	11-25	>25	None	Novice (up to 2 yrs)	Intermediate (2-5 yrs)	Extensive (more than 5 yrs)
Stocks		1-10	11-25	>25	None	Novice (up to 2 yrs)	Intermediate (2-5 yrs)	Extensive (more than 5 yrs)
Bonds		1-10	11-25	>25	None	Novice (up to 2 yrs)	Intermediate (2-5 yrs)	Extensive (more than 5 yrs)
ETFs (exchange traded funds)		1-10	11-25	>25	None	Novice (up to 2 yrs)	Intermediate (2-5 yrs)	Extensive (more than 5 yrs)
Options		1-10	11-25	>25	None	Novice (up to 2 yrs)	Intermediate (2-5 yrs)	Extensive (more than 5 yrs)
Futures		1-10	11-25	>25	None	Novice (up to 2 yrs)	Intermediate (2-5 yrs)	Extensive (more than 5 yrs)
CFDs (contracts for difference)		1-10	11-25	>25	None	Novice (up to 2 yrs)	Intermediate (2-5 yrs)	Extensive (more than 5 yrs)
Forex		1-10	11-25	>25	None	Novice (up to 2 yrs)	Intermediate (2-5 yrs)	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:
 

PHD or equivalent	Professional qualification (CISI etc.)
Masters' Degree or equivalent	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
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### 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
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### 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
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## 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	Up to 30	Up to 50	More than 51
ETF's (funds traded on a stock exchange)	Up to 30	Up to 50	More than 51
Options/warrants	Up to 30	Up to 50	More than 51
Futures	Up to 30	Up to 50	More than 51
Currencies	Up to 30	Up to 50	More than 51
Bonds	Up to 30	Up to 50	More than 51
CFD's (contracts for difference)	Up to 30	Up to 50	More than 51
Certificates	Up to 30	Up to 50	More than 51

**Our standard Terms of Dealing, which will apply to the services we provide and any relationship between us can be viewed at <https://www.agora-direct.com/uk/legal-notes/terms-dealing>**

**By signing this form, I/we confirm that I/we have read and understood the Terms of Dealing that will apply to our relationship with AGORA direct Ltd. and I/we agree to be bound by the Terms of Dealing.**

**Details of the potential risks associated with operating an online trading account and with particular types of investments can be found in our Risk Information and Protection Statement, which can be viewed at <https://www.agora-direct.com/uk/security/>**

**By signing this form, I/we confirm that I/we have read and understood the Risk Information and Protection statement.**

**Our Privacy Policy, which describes what data we raise and how we use these data in order to provide our services can be viewed at <https://www.agora-direct.co.uk/legal-notes/privacy-policy>.**

**By signing this form, I/we confirm that I/we have read and understood our Privacy Policy.**

**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.*