

## Brokerage Regulations

These Brokerage Regulations (hereinafter the “Regulations”) together with the General Terms and Conditions for the Provision of Investment Services determine the procedure, terms and conditions for the provision of brokerage, investment and agency services by Lime Trading (CY) Ltd (hereinafter the “Company”) in financial markets to any individual or legal entity that meets the requirements established by these Regulations (hereinafter the “Client”).

The Company and the Client separately shall be referred to as the “Party” and jointly as the “Parties”. Jointly individuals and legal entities, which the Company provides services under these Regulations, shall be referred to as the “Clients”.

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## Brokerage Regulations

To accede to the terms and conditions of these Brokerage Regulations (hereinafter the "Regulations") the Client must accept the:

- (i) Brokerage Agreement in the form of Appendix 1 hereto (hereinafter the "Brokerage Agreement"). Acceptance of the Brokerage Agreement by the Client means acceptance by the Client of all the terms and conditions specified in these Regulations without any exception or condition; and
- (ii) Company's General Terms and Conditions for the Provision of Investment Services (hereinafter the "General Terms and Conditions"). Acceptance of the General Terms and Conditions by the Client means acceptance by the Client of all the terms and conditions specified in the General Terms and Conditions without any exception or condition.

The Brokerage Agreement shall be signed by the Client personally or by his representative acting on the basis of a power of attorney or other grounds set by legislation in force. The Brokerage Agreement is deemed to enter into force from the date of its signing by the Parties. The person who enters into the Brokerage Agreement on behalf of the Client is duly authorized to do so.

Execution and fulfillment of the Brokerage Agreement by the Client does not contravene or violate or constitute a default of obligations or exceeds them, does not involve default in payment and are not a reason which adds to default in payment and do not contradict to everything listed below and namely:

- (i) any law by which the Client or any of its assets are governed;
- (ii) rights of any third parties in respect of the Client or the Securities;
- (iii) any agreement to which the Client or any of its assets are a party;

The Client represents and warrants that he/she is an experienced investor who is well-informed in financial and business matters and is capable of evaluating advantages and risks of investments and hereby guarantees and possesses sufficient powers for active and passive operations and it is not restricted in any way. The Company shall provide the Client with brokerage and investment services on international financial markets, and the Client shall pay the Company a fee for these services.

The Company represents to the Client the following:

- (i) The Company is duly incorporated, exists under the laws of the Republic of Cyprus and has all necessary powers;
- (ii) The Company shall act within the limits of the current legislation of the Republic of Cyprus and entering into the Brokerage Agreement, it shall be entitled to conclude it on terms set forth in the present Regulations and shall strictly comply with it when it renders services to the Client;
- (iii) The person who signs the Brokerage Agreement on behalf of the Company is duly authorized to do so;
- (iv) Execution and fulfillment of the Brokerage Agreement by the Company does not contravene or violate or constitute a default of obligations or exceed them, does not involve default in payment and is not a reason which adds to default in payment and does not contradict to everything listed below and namely: any law by which the Company or any of its assets are governed; rights of any third parties in respect of the Company or the Securities; any agreement to which the Company or any of its assets are a party.

Prior to or at the moment of execution of the Brokerage Agreement by the Client the Client shall:

- (i) Accept the Company's the General Terms and Conditions for the Provision of Investment Services;
- (ii) Complete, sign and submit to the Company the Client Questionnaire in the form of Appendix 2.1 hereto for Individuals opening an account under the standard procedure and in the form of Appendix 2.2 hereto for Legal Entities;
- (iii) Present a set of documents to the Company for the purposes of Company being able to properly conduct its Client identification and acceptance procedures.

**In cases where the amount of investment is considered to entail a higher level of risk or does not appear to be consistent with the economic profile of the client then additional documentary information confirming the source of the Client's income will be requested by the Company.**

In any case, the Company reserves the right to request the Client to provide the Company with any additional documentation considered necessary regarding the source of the Client's income or in the case of any doubts or insufficiency of information.

The Client undertakes within 3 (three) business days to notify the Company of the receipt of new documents in exchange for the documents mentioned above and/or of changes in information given in the Client Questionnaire, and also to present within 10 (ten) business days in the manner envisaged for the dispatch of notices duly certified copies of said documents and Changes in the Client Questionnaire (Appendix 2.3 hereto) that are signed by the Client.

The Client shall act within the limits of the current legislation of the country of its location (if the Client is a legal entity) or residence (if the Client is an individual), and as he/she enters into the Brokerage Agreement, he/she shall be entitled to conclude it on terms specified herein, and will strictly comply with it when using the Company's services.

In the event that the Client participates in the Brokerage Agreement as a principal, or if the Client acts as an agent in respect of any transactions or assets, the Company shall consider the Client as a principal in relation to such transactions or assets and the Client shall hereby be held liable for the execution of the Brokerage Agreement like the Client personally entered into the Brokerage Agreement as a principal.

**Appendix 1**

**Brokerage Agreement # \_\_\_\_\_**

Cyprus, “ \_\_\_ “ \_\_\_\_\_ 20\_\_

"Lime Trading (CY) Ltd", hereinafter referred to as the **Company**, represented by its Director acting on the basis of its Memorandum and Articles of Association and \_\_\_\_\_, hereinafter referred to as the **Client**, jointly referred to as the **Parties**.

1. The Company undertakes under instructions of the Client and for a fee to carry on legal and other activities related to the conclusion of transactions with securities and financial instruments in accordance to the terms of these Regulations and in accordance of the Company's General Terms and Conditions for the Provision of Investment Services which constitute an integral part of this Brokerage Agreement.

2. Under the present Brokerage Agreement the Client acknowledges that he/she has familiarized itself with and accepts in full these Regulations and the Company's General Terms and Conditions for the Provision of Investment Services and its Appendices, and the Client undertakes to fulfill all the terms and conditions provided for in these Regulations and the Company's General Terms and Conditions for the Provision of Investment Services.

3. The Client undertakes to pay fees and reimburse the Company expenses incurred and related to the services provided to the Company in the amount and under the terms specified by these Regulations and the Company's General Terms and Conditions for the Provision of Investment Services.

4. All information, reports, notifications, messages and other documents covered by the Regulations may be given to the Client in a durable medium as specified in the Company's General Terms and Conditions for the Provision of Investment Services.

5. A confirmation of an executed order will be sent to the Client in a durable medium or in electronic form, not later than the 1<sup>st</sup> business day following its execution.

6. The Company is a member of the Investors Compensation Fund.

7. The present Brokerage Agreement is concluded for an indefinite period time. The present Brokerage Agreement may be terminated in accordance to the provisions of the Company's General Terms and Conditions for the Provision of Investment Services.

\_\_\_\_\_

*(name of the Client)*

**Lime Trading (CY) Ltd**

*(on behalf of the Company)*

Name: \_\_\_\_\_

Title: \_\_\_\_\_

\_\_\_\_\_

*(Signature / Seal)*

\_\_\_\_\_

*(Signature / Seal)*

***Official notes of the Lime Trading (CY) Ltd***

The following requisites are assigned to the Brokerage Agreement

No \_\_\_\_\_ dated \_\_\_\_\_

## Appendix 2.1

### Client Questionnaire for Individuals

#### Important Notice

Being an investment company acting under the license granted by the CySEC and observing the applicable laws, by-laws, rules, and regulations adopted by state authorities, domestic and international regulatory agencies and professional associations, we are required to protect our clients' interests, for which purpose we believe our primary tasks are to understand our clients, the nature of their business, financial position, sources of funds, and to ensure that we understand fully their investment objectives, knowledge and experience in investment sphere, and also in certain financial products or services.

Thus, you certify that all statements made in this Client's questionnaire (the "Questionnaire") and all information, documents or others, provided to us (hereinafter referred to as the "Information") is complete, true and accurate, and that it is provided upon your initiative. You agree to be fully liable for the provided Information, and do not object that the Information is being collected also to confirm your business reputation according to practices applicable in international securities markets.

You also agree that according to the Information provided by you in this Questionnaire and other documents, we may classify you as a professional client unless a different agreement is reached. In any event, the Company reserves the right to assume any possible measures for checking reliability of the Information, specified by you in the Questionnaire, particularly to request supporting documents and also additional information and documents for the purpose of your classification in definite category of clients, and you hereby certify your consent to provide such documents and information.

If you are classified as a professional client, you shall be entitled to request a higher level of protection in relation to one or more of the Company's services, particular transactions or types of transactions/products, if you think that you are unable to assess or manage the risks involved properly.

You hereby consent and agree that you shall be responsible to notify the Company of any modifications to the Information provided that may influence your classification to the definite category of clients.

The Information provided in this Questionnaire shall be kept confidential and shall not be disclosed by us to a third party without your consent other than by explicit requirement under the applicable laws. You agree and acknowledge that it is required to disclose any of such information, we shall, without your additional consent, submit information only to the extent required by the appropriate regulations and only to the person specified in such regulations.

If you do not provide information or provide insufficient information pursuant to paragraph 1 of the present notice, this may not allow the Company to determine the appropriateness and suitability of specific services and/or products and result in relevant restrictions in their provision by the Company, including failure to conclude the Brokerage Agreement for the provision of brokerage services to you.

**Client Name:** \_\_\_\_\_

### Economic Profile

According to European financial regulations Lime Trading (CY) Ltd as a regulated financial company is obliged to request from its clients to provide all necessary information in order to comply with requirements for conducting customer identification and due diligence procedures and for constructing the Client's economic profile.

**Please indicate if you have education in financial sphere:** Yes  No

#### Annual Net Income (Euro):

- Less than €15,000
- €15,001 – €50,000
- €50,001 – €100,000
- €100,001 – €300,000
- €300,001 – €700,000
- €700,001 – €1,000,000
- If more than 1,000,000 please specify the amount.  
Euro: \_\_\_\_\_

#### Net worth (Euro):

- Less than €15,000
- €15,001 – €50,000
- €50,001 – €100,000
- €100,001 – €300,000
- €300,001 – €700,000
- €700,001 – €1,000 000
- If more than 1,000,000 please specify the amount.  
Euro: \_\_\_\_\_

#### Which sum (Euro) do you intend to invest in securities:

- Less than €15,000
- €15,001 – €50,000
- €50,001 – €100,000
- €100,001 – €300,000
- €300,001 – €700,000
- €700,001 – €1,000,000
- If more than 1,000,000 please specify the amount.  
Euro: \_\_\_\_\_

#### Type of Income - you can choose more than 1 option:

- Salary
- Earnings from investments
- Individual / unincorporated entrepreneurship
- Inheritance
- Real estate/ Rent
- Spouse/ Family savings
- Other, please specify: \_\_\_\_\_

#### I will credit/debit my account with my own funds by:

- Bank transfer
- Credit/debit card
- Transfer via payment system

#### Regular Financial Commitments - you can choose more than 1 option:

- Loan
- Taxes/ utility bills
- Other, please specify: \_\_\_\_\_

**Are you currently holding any investments?** Yes  No

**If "Yes" please specify (you can choose more than 1 option):**

- Deposits
- Corporate bonds
- Bills of Exchange
- Fixed Income Securities
- Money Market Funds
- Corporate Stocks
- Mutual Funds
- Other

**Purpose of the investment (you can choose more than 1 option):**

- Trading profits/ Speculation
- Capital growth
- Income generation
- Capital preservation/ Hedging

<b>Duration of Expected Investment</b>	<b>Expected Frequency of transactions per year</b>	<b>Expected Level of Investment risk</b>	
<input type="checkbox"/> Day trading	<input type="checkbox"/> 1-5	<input type="checkbox"/> Low	(3%-5%)
<input type="checkbox"/> 6 - 12 months	<input type="checkbox"/> 5-10	<input type="checkbox"/> Average	(5%-8%)
<input type="checkbox"/> 1 – 3 years	<input type="checkbox"/> 10-50	<input type="checkbox"/> Above Average	(8%-15%)
<input type="checkbox"/> 3 – 5 years	<input type="checkbox"/> 50-99	<input type="checkbox"/> High	(15%-20%)
<input type="checkbox"/> 5 – 10 years	<input type="checkbox"/> 100-500	<input type="checkbox"/> Very High	(>20%)
<input type="checkbox"/> > 10 years	<input type="checkbox"/> 500+		

### Employment status

Are you employed by a firm that has as its primary business dealing in investments or securities?

Yes  No

Industry of employment: \_\_\_\_\_

If you are employed in Financial Services sector, please specify Employer's name, address and phone number:

\_\_\_\_\_

### Leverage Policy

By default, we offer our clients a maximum leverage of 1:50 on all our products. Do you want to be able to access higher levels of leverage and have the required knowledge and experience to do so? Yes  No

**To apply for classification as a Professional Client on Request, please select at least two of the below options:**

- I have carried out transactions, in significant size, on the relevant markets at an average frequency of 10 per quarter over the previous 4 quarters.
- The size of my financial instrument portfolios, defined as including cash deposits AND financial instruments, exceeds EUR 500,000.
- I work or have worked in the financial sector for at least one year in a professional position, which requires knowledge of the transactions or services envisaged.

## Client declaration and warranties

- I confirm that the information given in the Professional Client Category Request form is true, complete and accurate.
- I have read, understood and accepted the consequences of losing my protection as a retail client as described in the warning on the differences in regulatory protections that apply to a professional client as compared with a retail client.
- I understand the consequences of the professional client categorisation and agree to this categorisation, subject to Lime Trading (CY) Ltd's approval.
- I understand that I am obliged to inform Lime Trading (CY) Ltd when there is a change in my circumstances that affects my classification as a professional client.
- I acknowledge the content of and agree to the Order Handling and Execution Policy.
- I am in possession of the expertise, experience and knowledge that makes me capable of making my own investment decisions and that I understand the risks involved in transactions I undertake.
- I want to receive Company news and product updates.
- I want to receive daily technical analysis from the Company.

## Exchange Market Data Agreements

What type of subscriber are you?      Non-Professional       Professional       Don't know

- I have read, reviewed and agreed to NYSE Market Data Agreement.
- I have read, reviewed and agreed to NASDAQ Market Data Agreement.

## Knowledge and Experience (Appropriateness Test)

In the section below please enter information about your trading experience for each product. Based on the answers you provide below we will make an assessment whether you have the necessary knowledge and experience to understand the risk involved in the "complex" instruments. Please indicate your trading experience for each type of financial instrument below. Failure to give us accurate answers will prevent us from assessing these instruments as appropriate for you and therefore may mean that you lose the protection given by the appropriateness test.

Do you have a minimum of 1 year trading experience and more than 10 trades executed on a Live or Demo account?

Equities (non-complex instruments)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Money Market instruments (non-complex instruments: deposits, federal government bonds, commercial papers notes and other fixed income instruments)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Forex (complex instruments)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Derivatives (options, futures, swaps, forward rate agreements and any other derivative contracts relating to securities, currencies, interest rates, yields or commodities)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

Please note that you apply for a Margin Account. Borrowing to support equities trading, shorting of equities, full options trading, full futures/futures options trading, currency conversions, and securities/commodities trading in multiple currency denominations is available. Margin requirements are computed real-time under a rules-based calculation methodology, with immediate position liquidation if the minimum maintenance margin requirement is not met. Purchase and sale proceeds are immediately recognized.

## Trading Account Information

Account Type: \_\_\_\_\_

Currency: \_\_\_\_\_

Security Word: \_\_\_\_\_

## Client Confirmations

I do hereby give my approval and consent to all present Client confirmations:

- ✓ This account will be used to trade and/or invest on behalf of myself as the account holder and I will invest my own funds.
- ✓ I, the account holder, have never been the subject of an investigation or proceeding by any commodities or securities exchange or regulatory authority or self-regulatory authority.
- ✓ I, the account holder, have never been the subject of, or initiated litigation, arbitration or any other type of dispute or settlement procedure with another broker or dealer.
- ✓ I, the account holder, confirm that I am not a member of an exchange or a regulatory or a self-regulatory organization, or an associated person, affiliated person or employee of an exchange member.

## Client Authorisations

SMS and Instant Messenger communication systems (including WhatsApp, Viber, Telegram, etc):

✓ I hereby provide my express consent and give my order that authorize the Company to communicate with me via:

- SMS messages and instant messenger messages (including through WhatsApp, Viber, Telegram, etc.)
- E – mail communication;
- Telephone communication;

for the purpose of sending me money withdrawal confirmation codes, resetting account access password to send me withdrawal confirmation codes, reset password codes, order status and provide updates, promotions, and important notifications regarding Company's products and services

- ✓ By opting into these methods of communication, I hereby acknowledge that for the purpose of the above communication, standard messaging rates may apply, and I hereby declare that I accept such standard messaging rates.
- ✓ I grant my authorization to the Company to share my personal data, including my full name, mobile phone number, and email address, with third parties, such as telephony operators, aggregators/intermediaries, and relevant authorized government bodies, solely for the purpose of facilitating the transmission of the above messages/communication. I understand that I can opt out of receiving the SMS and messages at any time by following the unsubscribe instructions provided in the Privacy Policy or by contacting Lime Trading (CY) Ltd directly.

Activation of the "REPO" service:

- ✓ I hereby provide my express consent and give my order that authorizes the Company to conclude REPO transactions with all available, unutilized and unblocked financial instruments on my brokerage account. More information about the REPO transactions and associated risks can be found in Appendix 6 of these Regulations.
- ✓ I do hereby accept, agree, give my explicit consent and authorise the Company to perform all necessary actions within the scope of providing the REPO services for the purpose of generating additional income on uninvested balances of monetary funds and financial instruments in my brokerage account.

## Client Declarations

- I do hereby give my approval and consent to all present Client Declarations:
- ✓ I agree that Lime Trading (CY) Ltd will provide me with information regarding investments.
  - ✓ I agree that my personal information, including name, personal identification number, address etc., as well as client information, including account information, investments etc., submitted by me when registering as a client with Lime Trading (CY) Ltd or later or which otherwise comes into Lime Trading (CY) Ltd 's possession may be disclosed to partners of Lime Trading (CY) Ltd. I agree that Lime Trading (CY) Ltd and its related parties may send me communications about offers and promotions.
  - ✓ I declare that I act in my own name as specified above and not on behalf of a third party in respect of all matters related to this client relationship. Accordingly, all funds to be deposited and traded on the account with Lime Trading (CY) Ltd are my own funds.
  - ✓ I hereby attach my identification documents. In the event that there is any change, I undertake to advise you within 10 days of any such change in writing.
  - ✓ I am aware of FATCA (Foreign Account Tax Compliance Act) provisions and obligations which became enforceable in Cyprus upon the Republic of Cyprus signing the relevant Intergovernmental Agreement and has further been incorporated into domestic legislation pursuant to a relevant decree issued by the Minister of Finance. I am aware and acknowledge that FATCA requires Financial Institutions to report information relating to reportable accounts as provided in the Intergovernmental Agreement to the Cyprus Tax Department.
  - ✓ I am aware of CRS (Common Reporting Standard) provisions and obligations which became enforceable in Cyprus upon the Republic of Cyprus signing the Multilateral Competent Authority Agreement on Automatic Exchange of Financial Account Information and has further been incorporated into domestic legislation pursuant to the Law on Administrative Cooperation in Tax Matters as amended from time to time and a relevant decree issued by the Minister of Finance of the Cyprus Republic. I am aware and acknowledge that the information contained in this form and information regarding my account(s) may be reported to the Cyprus Tax Department and the Cyprus Tax Department may in turn exchange such information with the tax authorities of other countries in which I may be a tax resident, where those countries have entered into agreements to exchange financial account information.
  - ✓ I hereby confirm that I am not directly and/or indirectly involved in any criminal activity in any conduct or money laundering activity or terrorist financing activity, my wealth and income proceeds are legitimate and have been personally identified and there is no conflict of interest whatsoever.
  - ✓ I confirm that I am acting on my own behalf and not as nominee(s) or in a fiduciary capacity on behalf of any other person(s).
  - ✓ I understand and accept that in the event I change my contact telephone number or registered email address, the Company reserves the right to restrict my ability to make deposits and withdrawals or apply any other restriction that the Company deems necessary for a period of 72 hours. This measure is implemented to ensure the security of my account and prevent unauthorized and/or fraudulent access. I understand and accept that to remove these restrictions, I must contact the Company directly and confirm and verify my new contact information.
  - ✓ I understand and accept that if the currency of my account differs from the currency in which a deposit is made, then an automatic conversion will occur at the prevailing market rate with an added spread to the conversion process that is published in the Private Cabinet section of my account.
  - ✓ I understand and accept that the Company reserves the right to refuse any request to transfer securities to another broker/depository without being obliged to provide any further explanations or justifications.

## Client Consent

- I do hereby give my approval and express consent to all present Client Consents:
- ✓ I have carefully read and fully understood the entire text of the present Brokerage Regulations, General Terms and Conditions for the Provision of Investment Services, and policies included thereon.
  - ✓ I declare that I give my express consent to the following provisions and policies:
    - Client orders may be executed outside of a Regulated Market or Multilateral Trading Facility (MTF);
    - Client Limit Orders which have not been immediately executed under prevailing market conditions may not be made public (unless instructed otherwise by you in writing);
    - Client agrees to communicate in a durable medium other than on paper including electronic means such as email or Company web site. In this respect Client confirms that he/she has regular access to the internet;
  - ✓ I declare and understand that trading in derivative are in line with my investments objectives and risk profile, including possibility of unlimited financial losses that might be associated with higher risk investments in derivatives.
  - ✓ I further acknowledge that trading with financial instruments on financial market may involve significant risk of loss and it is not suitable for all investors, that the value of the investments can both increase and decrease and the investors may lose all their investment capital, I acknowledge that in case of a leveraged product, the loss may be more than the initial capital invested and any financial success of other parties doesn't guarantee the same result for investor.
  - ✓ I declare that all W-8BEN self-certification forms are correct and that I am authorized to sign such forms electronically.

By clicking on "I agree" you certify, under penalty of perjury that:

- (i) the information provided is correct, complete and not misleading and I will inform the Company immediately about any changes to the details or information provided.
- (ii) "I agree" represents your digital signature which is the equivalent of your written signature and you will be entering into a legally binding agreement, the equivalent of a signed written contract.
- (iii) consent to the use of electronic records to evidence your certification/agreement.

## Complex Instruments Risk Warning Notice

This notice is provided to retail clients, in compliance with the rules of the Cyprus Securities and Exchange Commission.

This notice cannot disclose all the risks and other significant aspects of complex instruments. You should not deal in these products unless you understand their nature and the extent of your exposure to risk. You should also be satisfied that the product is suitable for you in the light of your circumstances and financial position.

Although Complex instruments can be utilized for the management of investment risk, some of these products are unsuitable for many investors. Different instruments involve different levels of exposure to risk and in deciding whether to trade in such instruments you should be first make acquainted yourself with the risks associated with the investments as disclosed in the Company's General Terms and Conditions for the Provision of Investment Services.

## Appropriateness

Complex instruments are derivative products for which special risks apply. Investors are required to provide information regarding their knowledge and experience in these products so as to enable an assessment whether the product is appropriate for them to be made, as requested in the Questionnaire which you are requested to fill in before we can proceed to offer a service. **Your responses to the questions will deem whether trading in complex instruments is appropriate for you.**

## Declaration

- ✓ I acknowledge that this appropriateness test is in place for my protection and confirm that the answers I have provided are truthful.
- ✓ I understand the risks involved in dealing in complex instruments, and declare that I have sufficient knowledge about the product and am able to assess the merits and declare that the product is appropriate in relation to my investment needs and abilities.
- ✓ I also confirm that complex instruments are suitable for me, given my investment objectives and attitude to risk and that I meet the experience and expertise conditions.

**Date:** \_\_\_\_\_

\_\_\_\_\_  
(name of the Client)

\_\_\_\_\_  
(Signature)

## Appendix 2.2

### Client Questionnaire for Legal Entities

#### Important Notice

Being an investment company acting under the license granted by the CySEC and observing the applicable laws, by-laws, rules, and regulations adopted by authorities, domestic and international regulatory agencies and professional associations, we are required to protect our client's interests, for which purpose we believe our primary tasks are to understand our clients, the nature of their business, financial position, sources of funds, and to ensure that we understand fully their investment objectives, knowledge and experience in investment sphere, and also in certain financial product or service.

Thus, you certify that all statements made in this Client's questionnaire (the "Questionnaire") and all information, documents or others, provided to us (hereinafter referred to as the "Information") is complete, true and accurate, and that it is provided upon your initiative. You agree to be fully liable for the provided Information, and do not object that the Information is being collected also to confirm your business reputation according to practices applicable in international securities markets.

You also agree that according to the Information provided by you in this Questionnaire and other documents, we may - after reviewing your circumstances on an individual basis - consider you as a professional client and work with you as a professional client, unless another agreement is reached. In any event, the Company reserves the right to assume any possible measures for checking the reliability of the Information, specified by you in the Questionnaire, particularly to request supporting documents and also additional information and documents for the purpose of your classification in definite category of clients, and you hereby certify your consent to provide such documents and information.

If you are considered as a professional client, you shall be able, according to the written agreement with the Company, to ask for a higher level of protection in relation to one or more Company's services, particular transactions or types of transactions/products, if you think that unable to assess or manage the risks involved properly.

You shall be responsible for notification to the Company of any modifications of the Information that may influence your classification to the definite category of clients.

The Information provided in this Questionnaire shall be kept confidential and shall not be disclosed by us to a third party without your consent other than by explicit requirement under the applicable laws. You agree and acknowledge that if it is required to disclose any of such information, we shall, without your additional consent, submit information only to the extent required by the appropriate regulations and only to the person specified in such regulations.

If you do not provide information or provide insufficient information pursuant to paragraph 1 of the present notice, this may not allow the Company to determine appropriateness of specific services and/or products and result in relevant restrictions in their providing by the Company, including failure to conclude the Brokerage Agreement with you.

This Questionnaire is to be completed by all clients wishing to conclude an agreement with us. Please fill in this questionnaire IN ENGLISH using clear, block capital letters.

**Company Name:** \_\_\_\_\_

**Investment Goals**

**Are you currently holding any investments?** Yes  No

**If “Yes” please specify (you can choose more than 1 option):**

**Purpose of the investment (you can choose more than 1 option):**

- Deposits
- Corporate bonds
- Bills of Exchange
- Fixed Income Securities
- Money Market Funds
- Corporate Stocks
- Mutual Funds
- Other

- Trading profits/ Speculation
- Capital growth
- Income generation
- Capital preservation/ Hedging

**Duration of Expected Investment**

- Day trading
- 6 - 12 months
- 1 – 3 years
- 3 – 5 years
- 5 – 10 years
- > 10 years

**Expected Frequency of transactions per year**

- 1-5
- 5-10
- 10-50
- 50-99
- 100-500
- 500+

**Expected Level of Investment risk**

- Low (3%-5%)
- Average (5%-8%)
- Above Average (8%-15%)
- High (15%-20%)
- Very High (>20%)

**Nature of Expected transactions / financial instruments**

<input type="checkbox"/> Transferable Securities	<input type="checkbox"/> Derivative instruments
<input type="checkbox"/> Corporate Bonds	<input type="checkbox"/> Contracts for differences
<input type="checkbox"/> Government or municipal bonds	<input type="checkbox"/> Forex
<input type="checkbox"/> Promissory notes	<input type="checkbox"/> Options, futures, swaps, FRAs relating to climatic variable, inflation rates etc
<input type="checkbox"/> UCTIS	<input type="checkbox"/> Repos
<input type="checkbox"/> Options, futures, swaps, FRAs relating to securities	<input type="checkbox"/> Other instrument: _____
<input type="checkbox"/> Options, futures, swaps FRAs relating to commodities that must be settled in cash	<input type="checkbox"/> Other instrument: _____
<input type="checkbox"/> Options, futures, swaps, FRAs relating to commodities that can be physically settled and also they are traded	<input type="checkbox"/> Other instrument: _____

**Trading via Internet and additional electronic services.**

**If yes, please specify:**

Type of account (s): \_\_\_\_\_

Currency (ies): \_\_\_\_\_

Online trading platform system (s) (optional): \_\_\_\_\_

**Code word (possible with numbers). Please indicate to enable you to place of Orders by phone:**

\_\_\_\_\_

**Exchange Market Data Agreements**

What type of subscriber are you?      Non-Professional       Professional       Don't know

I have read, reviewed and agreed to NYSE Market Data Agreement.

I have read, reviewed and agreed to NASDAQ Market Data Agreement.

**Company's Experience and Knowledge of investments**

Description of how trading decisions are made (tick what is best describe the Company's processes)	YES / NO *
The Company has an in-house treasury, investment or similar function comprising of competent and suitably qualified professionals (traders) who are responsible for the Company's investment strategies and processes.	
The Company has a designated investment Committee comprising of competent and suitably qualified professionals (traders) who are responsible for its investment strategies and investment processes and:  a) The Committee makes investment decisions on behalf of the Company; and b) The Company makes informed decisions taking into account the advice or recommendation of the Committee.	
The Company uses algorithms or other automated techniques to make trading decisions, with certain qualified professionals (traders) responsible for calibrating and managing them.	
The Company engages an external investment advisory team comprising of competent and suitably qualified professionals who are responsible for the Company's investment strategies and processes.	
The Company relies on, and follows, the investment strategies, advice and recommendations of a related entity and this entity has:  a) an in-house treasury, investment or similar function; or b) a designated investment committee; or c) It engages an external investment advisory team.	

## Client Confirmation

I do hereby give my approval and consent to all present Client confirmations:

- ✓ This account will be used to trade and/or invest on behalf of myself as the account holder.
- ✓ I, the account holder, have never been the subject of an investigation or proceeding by any commodities or securities exchange or regulatory authority or self-regulatory authority.
- ✓ I, the account holder, have never been the subject of initiated litigation, arbitration or any other type of dispute or settlement procedure with another broker or dealer.
- ✓ I, the account holder, confirm that I am not a member of an exchange or a regulatory or a self-regulatory organization, or an associated person, affiliated person or employee of an exchange member.

## Client Authorisations

SMS and Instant Messenger communication systems (including WhatsApp, Viber, Telegram, etc):

✓ I hereby provide my express consent and give my order that authorize the Company to communicate with me via:

- SMS messages and instant messenger messages (including through WhatsApp, Viber, Telegram, etc.)
- E – mail communication;
- Telephone communication;

for the purpose of sending me money withdrawal confirmation codes, resetting account access password to send me withdrawal confirmation codes, reset password codes, order status and provide updates, promotions, and important notifications regarding Company's products and services

- ✓ By opting into these methods of communication, I hereby acknowledge that for the purpose of the above communication, standard messaging rates may apply, and I hereby declare that I accept such standard messaging rates.
- ✓ I grant my authorization to the Company to share my personal data, including my full name, mobile phone number, and email address, with third parties, such as telephony operators, aggregators/intermediaries, and relevant authorized government bodies, solely for the purpose of facilitating the transmission of the above messages/communication. I understand that I can opt out of receiving the SMS and messages at any time by following the unsubscribe instructions provided in the Privacy Policy or by contacting Lime Trading (CY) Ltd directly.

Activation of the "REPO" service:

- ✓ I hereby provide my express consent and give my order that authorizes the Company to conclude REPO transactions with all available, unutilized and unblocked financial instruments on my brokerage account. More information about the REPO transactions and associated risks can be found in Appendix 6 of these Regulations.
- ✓ I do hereby accept, agree, give my explicit consent and authorise the Company to perform all necessary actions within the scope of providing the REPO services for the purpose of generating additional income on uninvested balances of monetary funds and financial instruments in my brokerage account.

## Client Declarations

I do hereby give my approval and consent to all present Client Declarations:

- ✓ I agree that Lime Trading (CY) Ltd will provide me with information regarding investments.
- ✓ I agree that personal information, including name, personal identification number, address etc., as well as client information, including account information, investments etc., submitted by me when registering as a client with Lime Trading (CY) Ltd or later or which otherwise comes into Lime Trading (CY) Ltd 's possession may be disclosed to partners of Lime Trading (CY) Ltd. I agree that Lime Trading (CY) Ltd and its related parties may

send me communications about offers and promotions.

- ✓ I declare that I act in my own name as specified above and not on behalf of a third party in respect of all matters related to this client relationship. Accordingly, all funds to be deposited and traded on the account with Lime Trading (CY) Ltd are own funds.
- ✓ I hereby attach my identification documents. In the event that there is any change, I undertake to advise you within 10 days of any such change in writing.
- ✓ I am aware of FATCA (Foreign Account Tax Compliance Act) provisions and obligations which became enforceable in Cyprus upon the Republic of Cyprus signing the relevant Intergovernmental Agreement and has further been incorporated into domestic legislation pursuant to a relevant decree issued by the Minister of Finance. I am aware and acknowledge that FATCA requires Financial Institutions to report information relating to reportable accounts as provided in the Intergovernmental Agreement to the Cyprus Tax Department.
- ✓ I am aware of CRS (Common Reporting Standard) provisions and obligations which became enforceable in Cyprus upon the Republic of Cyprus signing the Multilateral Competent Authority Agreement on Automatic Exchange of Financial Account Information and has further been incorporated into domestic legislation pursuant to the Law on Administrative Cooperation in Tax Matters as amended from time to time and a relevant decree issued by the Minister of Finance of the Cyprus Republic. I am aware and acknowledge that the information contained in this form and information regarding my account(s) may be reported to the Cyprus Tax Department and the Cyprus Tax Department may in turn exchange such information with the tax authorities of other countries in which I may be a tax resident, where those countries have entered into agreements to exchange financial account information.
- ✓ I hereby confirm that I am not directly and/or indirectly involved in any criminal activity in any conduct or money laundering activity or terrorist financing activity, my wealth and income proceeds are legitimate and have been personally identified and there is no conflict of interest whatsoever.
- ✓ I confirm that I am acting on my own behalf and not as nominee(s) or in a fiduciary capacity on behalf of any other person(s).
- ✓ I understand and accept that in the event I change my contact telephone number or registered email address, the Company reserves the right to restrict my ability to make deposits and withdrawals or apply any other restriction that the Company deems necessary for a period of 72 hours. This measure is implemented to ensure the security of my account and prevent unauthorized and/or fraudulent access. I understand and accept that to remove these restrictions, I must contact the Company directly and confirm and verify my new contact information.
- ✓ I understand and accept that if the currency of my account differs from the currency in which a deposit is made, then an automatic conversion will occur at the prevailing market rate with an added spread to the conversion process that is published in the Private Cabinet section of my account.
- ✓ I understand and accept that the Company reserves the right to refuse any request to transfer securities to another broker/depository without being obliged to provide any further explanations or justifications.

## Client Consent

I do hereby give my approval and express consent to all present Client Consents:

- ✓ I have carefully read and fully understood the entire text of the present Brokerage Regulations, General Terms and Conditions for the Provision of Investment Services, and policies included thereon.
- ✓ I declare that I give my express consent to the following provisions and policies:
  - Client orders may be executed outside of a Regulated Market or Multilateral Trading Facility (MTF);
  - Client Limit Orders which have not been immediately executed under prevailing market conditions may not be made public (unless instructed otherwise by you in writing);
  - Client agrees to communicate in a durable medium other than on paper including electronic means such as email or Company web site. In this respect Client confirms that he/she has regular access to the internet;

- ∨ I declare and understand that trading in derivative are in line with my investments objectives and risk profile, including possibility of unlimited financial losses that might be associated with higher risk investments in derivatives.
- ∨ I further acknowledge that trading with financial instruments on financial market may involve significant risk of loss and it is not suitable for all investors, that the value of the investments can both increase and decrease and the investors may lose all their investment capital, I acknowledge that in case of a leveraged product, the loss may be more than the initial capital invested and any financial success of other parties doesn't guarantee the same result for investor.
- ∨ I declare that all W-8BEN self-certification forms are correct and that I am authorized to sign such forms electronically.

### **Complex Instruments Risk Warning Notice**

This notice is provided to you, as a retail client, in compliance with the rules of the Cyprus Securities and Exchange Commission.

This notice cannot disclose all the risks and other significant aspects of complex instruments. You should not deal in these products unless you understand their nature and the extent of your exposure to risk. You should also be satisfied that the product is suitable for you in the light of your circumstances and financial position.

Although Complex instruments can be utilized for the management of investment risk, some of these products are unsuitable for many investors. Different instruments involve different levels of exposure to risk and in deciding whether to trade in such instruments you should be first make acquainted yourself with the risks associated with the investments as disclosed in the General Terms and Conditions for the Provision of Investment Services.

### **Appropriateness**

Complex instruments are derivative products for which special risks apply. Investors are required to provide information regarding their knowledge and experience in these products so as to enable the Company to make an assessment of whether such products are appropriate for you. Your responses to the questions in the Questionnaire will determine whether trading in complex instruments is an appropriate service for you.

### **Declaration**

I acknowledge that this appropriateness test is in place for my protection and confirm that the answers I have provided are truthful.

I understand the risks involved in dealing in complex instruments, and declare that I have sufficient knowledge about the product and I am able to assess the merits and declare that the product is appropriate in relation to my investment needs and abilities.

I also confirm that complex instruments are suitable for me, given my investment objectives and attitude to risk and that I meet the experience and expertise conditions.

The following officer(s), being duly authorised to do so, declare and confirm on behalf of the Company the following:

- ∨ I certify that I am authorised to sign for the Company in respect of all the accounts to which this form relates.
- ∨ The Company confirms that all statements made in this declaration are correct and complete.
- ∨ The Company undertakes to advise Lime Trading (CY) Ltd immediately of any change in circumstances which causes the information herein to become incorrect.
- ∨ The Company agrees to be bound by any provisions included in this form.

Date: \_\_\_\_\_

\_\_\_\_\_  
(name of the Client)

Name: \_\_\_\_\_

Title: \_\_\_\_\_

\_\_\_\_\_  
(Signature / Seal)

## Individual Experience Form

### Personal Details (to be completed by ALL Traders)

Full Name: _____	Passport Number: _____
Date of Birth: ____ / ____ / _____ (dd/mm/yyyy)	Country of Issue: _____

### Indicate level of knowledge and experience in TRADING with the following financial instruments of the Company's personnel, responsible for investment decisions

Type of Financial Instruments	Number of Years traded	Average frequency of transaction per month during the last year		
Transferable securities		<input type="checkbox"/> None	<input type="checkbox"/> Less than 10	<input type="checkbox"/> 10 or more
Shares		<input type="checkbox"/> None	<input type="checkbox"/> Less than 10	<input type="checkbox"/> 10 or more
Corporate Bonds		<input type="checkbox"/> None	<input type="checkbox"/> Less than 10	<input type="checkbox"/> 10 or more
Government or municipal bonds		<input type="checkbox"/> None	<input type="checkbox"/> Less than 10	<input type="checkbox"/> 10 or more
Promissory notes		<input type="checkbox"/> None	<input type="checkbox"/> Less than 10	<input type="checkbox"/> 10 or more
Units in collective investment undertakings (UCTIS)		<input type="checkbox"/> None	<input type="checkbox"/> Less than 10	<input type="checkbox"/> 10 or more
Options, futures, swaps, FRAs relating to securities		<input type="checkbox"/> None	<input type="checkbox"/> Less than 10	<input type="checkbox"/> 10 or more
Options, futures, swaps, FRAs relating to commodities that must be settled in cash		<input type="checkbox"/> None	<input type="checkbox"/> Less than 10	<input type="checkbox"/> 10 or more
Options, futures, swaps, FRAs relating to commodities that can be physically settled and also they are traded		<input type="checkbox"/> None	<input type="checkbox"/> Less than 10	<input type="checkbox"/> 10 or more
Derivative instruments		<input type="checkbox"/> None	<input type="checkbox"/> Less than 10	<input type="checkbox"/> 10 or more
Contracts for differences (CFDs)		<input type="checkbox"/> None	<input type="checkbox"/> Less than 10	<input type="checkbox"/> 10 or more
Spot and Forward Foreign Exchange		<input type="checkbox"/> None	<input type="checkbox"/> Less than 10	<input type="checkbox"/> 10 or more
Options, futures, swaps, FRAs relating to climatic variable, inflation rates etc		<input type="checkbox"/> None	<input type="checkbox"/> Less than 10	<input type="checkbox"/> 10 or more
Repos		<input type="checkbox"/> None	<input type="checkbox"/> Less than 10	<input type="checkbox"/> 10 or more
Over the counter & other Off Exchange Contracts		<input type="checkbox"/> None	<input type="checkbox"/> Less than 10	<input type="checkbox"/> 10 or more
Other instrument: (specify)		<input type="checkbox"/> None	<input type="checkbox"/> Less than 10	<input type="checkbox"/> 10 or more
Other instrument: (specify)		<input type="checkbox"/> None	<input type="checkbox"/> Less than 10	<input type="checkbox"/> 10 or more

### I confirm that:

- I consent to your collection and processing of my personal data for the purpose of enabling Lime Trading (CY) Ltd to administer and operate your account, provide services to you and comply with applicable laws and regulations, including: transaction and trade reporting; and assessing your trading experience for the purposes of: (a) assessing whether a service or financial instrument is appropriate for you/your employer; or (b) for determining whether you/your employer is a Professional investor as defined in CYSEC's Law and directives.
- I understand that I have the right to access, and request the correction of, any of the information that I have provided in this form by contacting Lime Trading (CY) Ltd in writing.
- The details contained in this form are correct and complete; and
- I will inform Lime Trading (CY) Ltd immediately in the event that any of the information given in this form becomes, or is subsequently found to be, incomplete.

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

**Appendix 2.3**

**Amendments to the Client Questionnaire**

<b>Agreement No and date:</b>		<b>Date of amendments:</b>	
<b>Client's full name:</b>			
<b>Group:</b>	- Legal Entity - Individual	<b>Type:</b>	- Retail - Professional - Eligible counterparties
<b>Contact Person:</b>		<b>Country:</b>	
<b>Telephones:</b>		<b>Fax:</b>	
<b>E-mail:</b>			
<b>Address:</b>			
<b>Changes in Questionnaire:</b>			
<b>Client's signature:</b>			
<b>Checked and Approved by:</b>			

**Appendix 3**

**Banking Details of the Company's Client Account**

Under the Brokerage Agreement # \_\_\_\_\_ dated \_\_.\_\_.20\_\_, signed by and between \_\_\_\_\_, hereinafter referred to as the "Client" and Lime Trading (CY) Ltd, hereinafter referred to as the "Company", before sending Orders to the Company by using one or more of the trading platforms listed below the Client undertakes to wire monetary funds to the Company's bank accounts which have been designated as "Clients' Accounts" and details of which are located in the online Private Office facility of the Client.

The Client agrees to specify the number and the date of the Brokerage Agreement on each payment order when making payments hereunder.

**Acknowledged and accepted by the Client:**

<b>Name of Client (Legal Entity):</b> _____	<b>Seal</b> _____
<b>Print Name:</b> _____	<b>Signature:</b> _____
<b>Title:</b> _____	<b>Date</b> _____

**Appendix 4**

**Order № \_\_\_\_\_ For Transactions in Securities**

Date: « \_\_\_ » \_\_\_\_\_ 20\_\_

Client: \_\_\_\_\_

Authorized representative: \_\_\_\_\_

To: \_\_\_\_\_ Attn: \_\_\_\_\_

Brokerage Agreement № \_\_\_\_\_ dated « \_\_\_ » \_\_\_\_\_ 20\_\_

Please, perform the following transaction in securities:

<b>Transaction type</b>	
<b>Type, issuer, state registration number of securities/</b>	
<b>Number of securities/</b>	
<b>Price, currency/</b>	
<b>Place of execution/</b>	
<b>Order valid till/</b>	
<b>Miscellaneous/specific details/</b>	

I hereby instruct the Company to write-off securities upon the completion of the transaction.

Additional terms: The Client shall pay all the costs of registration of securities property rights.

Client's/Client's authorized representative's signature \_\_\_\_\_ / \_\_\_\_\_ /

<b>For official use</b>			
<i>Order transferred to execution</i>			
Date	Time		_____
<i>Order executed</i>			
Date	Time		_____

**Appendix 4.1**

**Order № \_\_\_\_\_ For Repurchase Transactions REPO in Securities**

Date: « \_\_\_\_ » \_\_\_\_\_ 20\_\_

Client : \_\_\_\_\_

Authorized representative: \_\_\_\_\_

To: \_\_\_\_\_ Attn: \_\_\_\_\_

Brokerage Agreement \_\_\_\_\_ dated « \_\_\_\_ » \_\_\_\_\_ 20\_\_

Please, perform the following transaction in securities/

Type, issuer, state registration number of securities/			
Number of securities			
Place of execution			
Type of Part 1 transaction (purchase or sale)/			
Price, currency			
Haircut			
Purchase rate / Price of Part 2			
Part 1 transaction to be performed no later than/		Part 2 transaction to be performed no later than/	

I hereby instruct the Company to write-off securities upon the completion of the transaction.

Additional terms: The Client shall pay all the costs of registration of securities property rights.

Client's/Client's authorized representative's signature \_\_\_\_\_ / \_\_\_\_\_ /

<b>For official use</b>			
<i>Order transferred to execution</i>			
Date	Time		_____
<i>Order executed</i>			
Date	Time		_____

**Appendix 5.1**

**Order № \_\_\_\_\_ For Transfer of Funds**

Date: « \_\_\_ » \_\_\_\_\_ 20\_\_

Client: \_\_\_\_\_

Authorized representative: \_\_\_\_\_

Brokerage Agreement № \_\_\_\_\_ dated « \_\_\_ » \_\_\_\_\_ 20\_\_

**Please transfer the funds in the amount of**  
\_\_\_\_\_ ( \_\_\_\_\_ )  
(amount in figures) (amount spelled out)

**Currency:**     USD                     EURO                     RUB

**Trading platform** \_\_\_\_\_ **account** \_\_\_\_\_

**using the following banking details:**

**Recipient of payment:** \_\_\_\_\_

**Beneficiary's account #:** \_\_\_\_\_

**Beneficiary Bank:** \_\_\_\_\_

**Beneficiary bank address (city, country):** \_\_\_\_\_

**Beneficiary bank SWIFT:** \_\_\_\_\_

**Correspondent Account #:** \_\_\_\_\_

**Correspondent Bank:** \_\_\_\_\_

**Correspondent bank address:** \_\_\_\_\_

**Correspondent bank SWIFT:** \_\_\_\_\_

**Client's/Client's authorized representative's signature** \_\_\_\_\_/\_\_\_\_\_

**Appendix 5.2**

**Order № \_\_\_\_\_ For Transfer / Reception of Securities**

Date: « \_\_\_ » \_\_\_\_\_ 20\_\_

Client: \_\_\_\_\_

Authorized representative: \_\_\_\_\_

Brokerage Agreement № \_\_\_\_\_ dated « \_\_\_ » \_\_\_\_\_ 20\_\_

**Please perform:**

- transfer
- reception

#	Type, Issuer of Securities	State registration number	Number of Securities

**used for performing transactions/operations:**

- via/ ROX
- via Trasaq MMA
- on unregulated market using Internet-trading system MetaTrader and its expansions

**according to the following details:**

**Name and account number:** \_\_\_\_\_

**Custody account section:** \_\_\_\_\_

**Identificator:** \_\_\_\_\_

**Name of Custody:** \_\_\_\_\_

**Beneficiary:** \_\_\_\_\_

**Passport number for physical persons or state registered number for legal entity:** \_\_\_\_\_

\_\_\_\_\_

**Custody agreement:** \_\_\_\_\_

**Intercustody agreement:** \_\_\_\_\_

**Trade date:** \_\_\_\_\_

**Settlement date:** \_\_\_\_\_

**Contact person:** \_\_\_\_\_

**Additional information:** \_\_\_\_\_

**Client's/Client's authorized representative's signature** \_\_\_\_\_ / \_\_\_\_\_ /

**Appendix 5.3**

**Order № \_\_\_\_\_ For Cash Transfer from One Trading System to Another TRADING SYSTEM**

Date: « \_\_\_ » \_\_\_\_\_ 20\_\_

Client: \_\_\_\_\_

Authorized representative: \_\_\_\_\_

Brokerage Agreement № \_\_\_\_\_ dated « \_\_\_ » \_\_\_\_\_ 20\_\_

Client's account \_\_\_\_\_

**Please transfer monetary funds for performing transactions:**

**FROM** (Trading system) \_\_\_\_\_

**TO (Trading System):** \_\_\_\_\_

In the amount of: \_\_\_\_\_ ( \_\_\_\_\_ )  
(amount in figures) (amount spelled out)

**Additional information** \_\_\_\_\_  
\_\_\_\_\_

**Client's/Client's authorized representative's signature** \_\_\_\_\_ / \_\_\_\_\_ /

**Appendix 5.4**

**Cash Acceptance Form Between Clients of Lime Trading (CY) Ltd**

Date: « \_\_\_ » \_\_\_\_\_ 20\_\_

Client: \_\_\_\_\_

Authorized representative: \_\_\_\_\_

Brokerage Agreement № \_\_\_\_\_ dated « \_\_\_ » \_\_\_\_\_ 20\_\_

**I confirm acceptance of funds in the amount of**

\_\_\_\_\_ ( \_\_\_\_\_ )  
(amount in figures) (amount spelled out)

**Currency:**     USD                       EURO                       RUB

**Reason for the transfer:** \_\_\_\_\_

**Recipient's/Recipient's authorized representative's signature** \_\_\_\_\_/\_\_\_\_\_

## Appendix 5.5

### Cash Acceptance Form from a Third Party

Date: « \_\_\_ » \_\_\_\_\_ 20\_\_

Client: \_\_\_\_\_

Authorized representative: \_\_\_\_\_

Brokerage Agreement № \_\_\_\_\_ dated « \_\_\_ » \_\_\_\_\_ 20\_\_

**I confirm acceptance of funds in the amount of**

\_\_\_\_\_ ( \_\_\_\_\_ )  
(amount in figures) (amount spelled out)

**Currency:**     USD                       EURO                       RUB

**Reason for the transfer:** \_\_\_\_\_

**Receipient's/Receipient's authorized representative's signature** \_\_\_\_\_ / \_\_\_\_\_ /

Third party is subject to Due diligence requirements, and the identification documents of the third party must be submitted to the Compliance department BEFORE THE FUNDS ARE ALLOCATED TO THE RECEIPIENT
---

**Appendix 5.6**

**Cash Transfer Order Between Clients of Lime Trading (CY) Ltd**

Date: « \_\_\_ » \_\_\_\_\_ 20\_\_

Client: \_\_\_\_\_

Authorized representative: \_\_\_\_\_

Brokerage Agreement № \_\_\_\_\_ dated « \_\_\_ » \_\_\_\_\_ 20\_\_

**Please transfer the funds in the amount of**

\_\_\_\_\_ ( \_\_\_\_\_ )  
(amount in figures) (amount spelled out/)

**Currency:**     USD                       EURO                       RUB

**From trading platform** \_\_\_\_\_ **account** \_\_\_\_\_

**To the account of the client of LIME TRADING (CY) LTD:**

**Recipient:** \_\_\_\_\_

**Brokerage Agreement: #** \_\_\_\_\_ **dated** \_\_\_\_\_ **20\_\_**

**To trading platform** \_\_\_\_\_ **account** \_\_\_\_\_

**Please convert:**         USD                       EURO                       RUB

**Reason for the transfer:** \_\_\_\_\_

**Client's/Client's authorized representative's signature** \_\_\_\_\_ / \_\_\_\_\_ /

**Recipient's/Recipient's authorized representative's signature** \_\_\_\_\_ / \_\_\_\_\_ /

**Appendix 5.7**

**Order For Cash Transfer From Brokerage Account To Asset Management ACCOUNT**

Date: « \_\_\_ » \_\_\_\_\_ 20\_\_

Client: \_\_\_\_\_

Brokerage Agreement № \_\_\_\_\_ dated « \_\_\_ » \_\_\_\_\_ 20\_\_

**Please transfer at any time all available balance of monetary funds on my trading account(s) to Asset Management Account # \_\_\_\_\_ for further depositing into Money Market Sweep Accounts.**

**Client's/Client's authorized representative's signature \_\_\_\_\_ / \_\_\_\_\_ /**

**Appendix 5.8**

**Order For Transfer Of Securities From Brokerage Account To Asset Management Account**

Date: « \_\_\_ » \_\_\_\_\_ 20\_\_

Client: \_\_\_\_\_

Brokerage Agreement No \_\_\_\_\_ dated « \_\_\_ » \_\_\_\_\_ 20\_\_

**Please perform at any time transfer of all securities available on my trading account(s) to Asset Management Account # \_\_\_\_\_ for further execution of REPO transactions under Regulations for provision of asset management services).**

**Client's/Client's authorized representative's signature** \_\_\_\_\_ / \_\_\_\_\_

**Appendix 5.9**

**Order to Sign a Forward Contract**

**Order:**

**Date:** \_\_\_\_\_

**Client:** \_\_\_\_\_

**Authorized representative:** \_\_\_\_\_

**Brokerage Agreement** \_\_\_\_\_ **dd** \_\_\_\_\_

**To** \_\_\_\_\_ **Attention** \_\_\_\_\_

**Please sign a forward contract with the following parameters:**

<b>Specification</b>	
<b>Transaction type</b>	
<b>Contract Date</b>	
<b>Notional amount</b>	
<b>Contractual Instrument price</b>	
<b>Fixing Instrument price</b>	
<b>Closing date</b>	
<b>Risk level (%)</b>	
<b>Participation Rate</b>	

**The Client has hereby read and agrees with all the terms set forth in the Specification # \_\_\_\_\_ and also with the rules of calculation and terms of payment of the Payment Amount under the contract.**

**Client's/Client's authorized representative's signature** \_\_\_\_\_

<b>For official use</b>			
<i>Order transferred to execution</i>			
Date	Time		_____
<i>Order executed</i>			
Date	Time		_____
			Forward Contract #:
			_____

## **REPO Service**

In accordance with the present terms and conditions which regulate the provision of Repo transaction services the Client gives his/her express consent to the use of all available, unutilized and unblocked financial instruments maintained on the Client's Brokerage Account for the purpose of generating additional income on such available, unutilized and unblocked financial instruments held. Repos are typically short-term transactions—usually overnight—but they can extend out as far as two years. They enable the sellers of the securities to earn short-term interest on their funds. In effect, the securities function as collateral for short-term loans.

As a secured form of financing, repos offer market participants more favorable terms than traditional money market cash lending transactions. Reverse repurchase agreements may be used to earn income on their excess cash reserves. When securities are sold, the sellers simultaneously agree to repurchase the securities on a specified day at a given price, including interest calculated using a rate agreed upon at the time the sale takes place. The portion of the repo transaction when the security is sold is referred to as the "start" leg, while the subsequent repurchase is called the "close" leg.

### **Withdrawal**

When financial instruments utilized for execution of REPO transactions are needed back in the Client's Brokerage Account the Company will undertake all necessary steps to withdraw concerned financial instruments from REPO and transfer them back to the Client's Brokerage Account without any delay.

### **Generated profit**

All REPO transactions performed by the Company with the Client's financial instruments will be recorded on the Client's Brokerage Account. Profit generated from execution of REPO transactions will be marked accordingly.

### **Reporting**

All movements on the Client's Brokerage Account with regard to the financial instruments transferred under execution of REPO transactions service including information on income generated will be recorded and reported to the Client in regular reports. Frequency and content of reports is governed by the present Regulations.

### **Closing of Account**

The Company reserves the right to terminate provision of the service. In that case all securities transferred for execution of REPO transactions will be returned to the Client's Brokerage Account together with income generated.

In case the Client decides to close his/her Brokerage Account, the Company shall undertake all necessary measures to return securities transferred for execution of REPO transactions to the Client's Brokerage Account together with income generated.

### **Credit risk**

While classic REPOs are generally credit-risk mitigated instruments, there are residual credit risks. The seller may fail to repurchase the securities sold, at the maturity date. Consequently, the buyer may keep the security, and liquidate the security to recover the cash lent. The security, however, may have lost value since the outset of the transaction as the security is subject to market movements. Occasionally, a party involved in a REPO transaction may not have a specific bond at the end of the REPO contract. This may cause a string of failures from one party to the next, for as long as different parties have transacted for the same underlying instrument. Credit risk associated with REPO is subject to many factors: term of REPO, liquidity of security, the strength of the counterparties involved, etc.

### **Rights and obligations**

The Company shall bear no responsibility before the Client for any actions, inactions or omissions of a third party and also for any losses incurred by the Client in a result of actions, inactions or omissions of a third party unless such losses directly arises from the Company's willful default or fraud or gross negligence. The Company shall also bear no responsibility or liability for unfavorable consequences for the Client due to the insolvency/bankruptcy of a third party.

### **Client's consent**

**The Client hereby confirms that before entering into the Brokerage Agreement he/she has carefully studied and fully agrees with terms and conditions of the Regulations for provision of brokerage, investment and agency services on the securities market which will also govern the execution of REPO transactions service.**