

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: _____

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: _____

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

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

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: _____

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: _____

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

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%)

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

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)