

ACCOUNT OPENING APPLICATION FORM (FOR LEGAL PERSONS)

Instructions as to how to Complete the Application Form

1. Before completing this Application Form, you should make sure you have read and understood all information regarding your Client Account, including the applicable Agreement (namely the documents "Client Agreement", "Services", "Client Categorization", "Investor Compensation Fund", "General Risk Disclosure Policy", "Policy to Act in the Best Interest of the Client and Order Execution Policy", "Complaints Handling Procedure", "Privacy Policy", "Summary Conflicts of Interest Prevention Policy") and the Contract Specifications, which are all available on our Website www.broprime.com
2. Please complete all information below in this Application Form as accurately as possible in block capital letters with a black or blue pen or type or type electronically.
3. For fast processing purposes, you may submit this Application Form and required documentation enlisted in part (J) herein either: a) online on our website at www.broprime.com , or b) by fax at +357 25-354433, or c) scan and send it to us by email at info@broprime.com.
4. Please note that we cannot accept you as a Client (under Applicable Regulations) and open a Client Account for you, unless all the above documents are properly received by us and all internal checks are duly satisfied.
5. For any questions regarding this Application Form or the Agreement or the Contract Specifications you may contact us at +357 25262211.

A. Client Information

Please fill in the fields below as appropriate.

1. Corporate name: ✎

2. Trading name (if any): ✎

3. Form of incorporation

Public company

Private company

Other (please specify)

✎

4. Nature of business/business activities

✎
.....

5. Are you authorized to perform any regulated service/activity?

YES

NO

If your answer is 'yes' please state the authorized service/activity, competent or supervisory authority, license number and country of relevant authorisation.

✎

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6. Registration/Incorporation details

Registration/Incorporation number:

Registration/Incorporation country:

✎

✎

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.....

Registration/Incorporation date:

Name of registrar/relevant authority:

✎

✎

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7. Contact details

7.1 Head office address

Full address:

Postal code:

✎

✎

.....

.....

City:

Country:

✎

✎

Telephone:

Website (if any):

✎

✎

Fax:

E-mail (if any):

✎

✎

7.2 Correspondence address (if different):

✎
.....

8. Group Information - Are you part of a Group?

YES

NO

If your answer is 'yes' please state the country of incorporation of the parent company, subsidiary companies, associate companies, financial information and information regarding the Group activities, as applicable. Kindly note that you also may be requested to provide us with the Group's financial information (i.e. consolidated Group accounts).

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B. Information Regarding Beneficial Owners and Directors

1. For each natural person Director please provide us with the following details (in case of more than four Directors kindly request to be provided with additional forms). For Directors who are legal entities please fill in only the 'Name', 'Permanent Address', 'Post Code', 'City & Country' 'Telephone Number', 'Fax Number' and 'E-Mail' fields.

Full name:	Permanent address
✎	✎
Telephone number:	
✎
Fax number:	Postal Code:
✎	✎
E-mail (if any):	City & Country:
✎	✎

Profession:

✎

Name of employer/organization or own business:

✎

Other occupation(s):

✎

.....

Educational background:

✎

.....

Politically exposed persons:

I declare that I am NOT a Politically Exposed Person as defined under points 1 or 2 in Appendix A

I declare that I am a Politically Exposed Person as defined under points 1 or 2 in Appendix A

2. For each natural person who is a registered shareholder or/and a Beneficial Owner (for definition see Appendix B) please provide us with the following details (in case of more than four registered shareholders/beneficial owners kindly request to be provided with additional forms). For registered shareholders who are legal entities please fill in only the 'Name', 'Permanent Address', 'Post Code', 'City & Country' 'Telephone Number', 'Fax Number', 'E-Mail' and 'Percentage of Total Holding' fields.

Full name:

✎

Permanent address

✎

Telephone number:

✎

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Fax number:

✎

Postal Code:

✎

E-mail (if any):

✎

City & Country:

✎

Profession:

✎

Name of employer/organisation or own business:

✎

Other occupation(s):

✎

Educational background:

✎

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Percentage of total holding (direct and indirect) in the applicant:

✎

Politically exposed persons:

I declare that I am NOT a Politically Exposed Person as defined under points 1 or 2 in Appendix A

I declare that I am a Politically Exposed Person as defined under points 1 or 2 in Appendix A

C. Authorised Representative

For more than one Representative person kindly request to be provided with additional forms.

- 1. Title (Mr, Ms): ✎
- 2. Full name: ✎
- 3. Nationality: ✎
- 4. Passport number: ✎
- 5. Place and date of birth: ✎
- 6. Country of residence: ✎
- 7. Contact Details:
 - 7.1 Permanent address
 - Full address: ✎
 - Postal code: ✎
 - City & Country: ✎
 -
 - Home telephone: ✎
 - Mobile telephone: ✎
 - Fax: ✎
 - E-mail (if any): ✎
- 7.2 Correspondence address (if different):
✎
-

Capacity (e.g. Director, authorized Representative to open the account, authorized Representative to operate the account etc):

✎

8. Professional and educational background

Profession:

✎

Name of employer/organization or own business:

✎

Other occupation(s), if any:

✎

Educational background:

✎

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Was your past occupation(s) within or related to the financial sector?

Yes No

If 'Yes' please specify:

✎

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Do you hold any educational or professional qualifications relevant to the type of trading/service you intend to carry with us on behalf of the person whom you represent

Yes No

If 'Yes' please specify:

✎

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9. Politically exposed persons:

I declare that I am NOT a Politically Exposed Person as defined under points 1 or 2 in Appendix A

I declare that I am a Politically Exposed Person as defined under points 1 or 2 in Appendix A

D. Financial Information

1. Please indicate if any of the following applies to you:

Balance sheet total of at least EUR 20,000,000

Net turnover of at least EUR 40,000,000

Own funds of at least EUR 2,000,000

2. Financial profile

Total Assets:

✎

Previous Year Profits/Losses:

✎

Liabilities:

✎

3. How do you expect to credit/fund your account?

Wire Transfer	Electronic Payment Systems	Credit/Debit Card	Other (please specify)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	✎
		

Please provide us with further details of your expected origin of funds (e.g. name of institution/bank/money transfer company and country of origin):

✎

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What is your expected destination of outgoing transfers/payments, if different than the expected origin of funds stated above?

✎

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Please provide us with details of the source of your wealth and income (e.g. profits from business, loan, income/profits from investments, intellectual property rights etc):

✎

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E. Information Regarding the Services and Trading Account

1. Please choose the service(s) envisaged:

CFD/FX Derivatives Trading in currency pairs (Forex)	CFD/FX Derivatives Trading in Stocks	CFD/FX Derivatives Trading on Indices	CFD Trading in Futures	CFD Trading in Precious Metals (e.g. gold, silver)	CFD Trading in Commodities (e.g. crude oil)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2. Please state the anticipated account turnover:

✎

3. Please state the purpose and reason for requesting the envisaged service(s) (e.g. hedging, speculation):

✎

F. Knowledge & Experience

In which of the following types of financial instruments do you consider having sufficient knowledge and experience to conclude transactions?

In case this part shall be completed by an authorized Representative of the Client, who shall be authorized to operate the Client's account, then this is directly addressed to the authorized Representative.

Type of financial instrument	Type of service offered and type/nature of transactions (e.g. Brokerage, Portfolio Management, Buy/Sell, Short Selling, REPOs etc)	Time period over which transactions have been undertaken (e.g. last year, 5 years ago etc)	Volume and frequency of transactions
CFDs/FX Derivatives	✎	✎	✎
Money Market Instruments	✎	✎	✎
Derivatives	✎	✎	✎

Fitness Test - Read the following and tick as applicable (optional):

Kindly note that the Fitness Test should be undertaken by persons/Clients who wish to be treated as Professional, as per the Client Classification information stated in the Client Agreement provided to you. In case the Fitness Test shall be undertaken by an authorized Representative of the Client, who shall be authorized to operate the Client's account, then points 2.1 and 2.3 below are directly addressed to the authorized Representative.

Did you carry out transactions in significant size on a relevant financial market at an average of ten (10) transactions per quarter over the previous four (4) quarters? Yes No

If your answer is 'yes' please specify the relevant financial market, type of financial instrument and the approximate size of transactions.

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Does the size of your portfolio (cash deposits and financial instruments) exceeds EUR 500.000? Yes No

Do you work or have you worked in the financial sector for a period of at least one (1) year in a professional position, which requires knowledge of the transactions or service(s) envisaged. Yes No

G. Provision of Information

Please choose the preferred method of receiving information from Broctagon Prime Ltd:

*Electronically Paper
(Email & Website)

* To be able to receive information electronically kindly note that an email address must be provided in Section A7.1 above. Further, kindly note that some information provided through our website may not be addresses personally to you. Kindly confirm that you accept this by ticking the box

H. Risk Disclosure Statement

1. In order to comply with Applicable Regulations, Broctagon Prime Ltd must provide its prospective Clients with a Risk Disclosure statement on complex Financial Instruments. Below is an overall description of the characteristics of CFDs/ FX Derivatives and of the risks associated with them. Further information please refer the document titled "General Risk Disclosure Policy", also available on www.broprime.com

2. Trading in Financial Instruments always involves a risk. As a general rule, you should not therefore trade in Financial Instruments if you do not understand the products and the risks associated with them.

3. A CFD - or Contract for Difference - is speculation in changes in values. This Financial Instrument allows the Client to speculate in future increases or decreases in the value of a specific Underlying Asset, for instance Currency Pairs, equity indices, metals, commodities and futures. If the Client's speculations prove to be correct, he will make a profit from the difference in value (less costs), but he will have to pay the difference in value (plus costs) if his speculations turn out to be wrong.

4. CFDs/FX Derivatives available with Broctagon Prime Ltd are always margin traded are margin traded, allowing the Client to take a larger position than he would otherwise be able to be based on his funds. So, a relatively small movement in the Underlying Market can have a disproportionately dramatic effect on the Client's trade. If the Underlying Market movement is in the Client's favor, the Client may achieve a good profit, but an equally small adverse market movement can not only quickly result in the loss of the Clients' entire deposit, but may also expose the Client to a large additional loss. CFD/FX Derivatives trading therefore involves a relatively high level of risk.

5. CFDs/FX Derivatives trade within wide intraday ranges with volatile price movements. Therefore, the Client must carefully consider that there is a high risk of losses as well as profits. The price of CFDs/FX Derivatives is derived from the price of the Underlying Asset in which the CFD/FX Derivatives refers to. CFDs/FX Derivatives and related Underlying Markets can be highly volatile. The prices of CFDs//FX Derivatives and the Underlying Assets may fluctuate rapidly and over wide ranges and may reflect unforeseeable events or changes in conditions, none of which can be controlled by the Client or Broctagon Prime Ltd. Under certain market conditions it may be impossible for a Clients order to be executed at declared prices leading to losses. The prices of CFDs/FX Derivatives and the Underlying Asset will be influenced by, amongst other things, changing supply and demand relationships, governmental, agricultural, commercial and trade programs and policies, national and international political and economic events and the prevailing psychological characteristics of the relevant market place.

MANDATORY: I declare that I have read and understood this Risk Disclosure Statement above and "Risk Disclosure and Warnings Notice".

Name:..... Signature:..... Date:.....

Name:..... Signature:..... Date:.....

I. Signature and Consents

MANDATORY:

1. I declare and confirm by my signature below:

- To have read, understood and agreed with the Agreement (which consists of the following documents "Client Agreement", "Services", "Client Categorization", "Investor Compensation Fund", "General Risk Disclosure Policy", "Policy to Act in the Best Interest of the Client and Order Execution Policy", "Complaints Handling Procedure", "Privacy Policy", "Summary Conflicts of Interest Prevention Policy") and the Contract Specifications which are all found on the website of Broctagon Prime Ltd.
- That all information disclosed above is complete, true and accurate and I agree to promptly notify Broctagon Prime Ltd of any changes in this information or it ceases to be true and accurate.
- That the documents handed over by me are valid and authentic.
- The amount to invest in the Trading Account and the type of Financial Instrument was chosen by me taking into account my total financial circumstances into consideration and are considered reasonable under these circumstances.
- I am acting as a principal on my own behalf and not as agent or representative or trustee or custodian on behalf of someone else.
- The funds and/or Securities I will use with Broctagon Prime Ltd are not in any direct or indirect way the proceeds of any illegal activity or used or intended to be used for terrorist financing.

Name:.....

Signature:.....

Date:.....

[Company Seal]

J. List of Required Documents

Certificate of incorporation.

Recent (up to 6 months) certificate of good standing.

Certificate of registered office.

Certificate of directors and secretary.

Certificate of shareholders.

Memorandum and articles of association.

Resolution of the Board of Directors of the Client for the opening of the account and granting authority to those who will operate it.

If the registered shareholder act as nominees of the Beneficial Owner (See definition of Appendix A), a copy of the trust deed/agreement concluded between the nominee shareholder and the Beneficial Owner, by virtue of which the registration of the shares on the nominee shareholder's name on behalf of the Beneficial Owner has been agreed.

For each Director of the Client who is a natural/physical person, as per the certificate of Directors, the following documents are required:

Copy of Passport (photograph, personal details, signature, issue & expiry dates, place and date of issue, serial number to be clearly visible).

Copy of Driving License or Passport.

Copy of a recent (up to 6 months) utility bill, local authority tax bill or a bank statement.

For each Director of the Client who is a legal entity, as per the certificate of Directors, the following documents are required:

Certificate of incorporation.

Recent (up to 6 months) certificate of good standing.

Certificate of registered office.

Certificate of directors and secretary.

Certificate of shareholders.

Memorandum and articles of association

For each natural person who is a registered shareholder and/or a Beneficial Owner (for definition see Appendix B) of the Client the following documents are required:

Copy of Passport (photograph, personal details, signature, issue & expiry dates, place and date of issue, serial number to be clearly visible).

Copy of Driving License.

Copy of a recent (up to 6 months) utility bill, local authority tax bill or a bank statement.

For each legal entity who is a registered shareholder of the Client the following documents are required:

Certificate of incorporation.

Recent (up to 6 months) certificate of good standing.

Certificate of registered office.

Certificate of directors and secretary.

Certificate of shareholders.

Memorandum and articles of association.

For Representatives authorized to open and/or operate the Client's account the following documents must also be provided for each Representative person:

A legalized or apostilled document – authorizing the Representative person (if different than any of the Directors) to act on behalf of the Client.

Copy of Passport (photograph, personal details, signature, issue & expiry dates, place and date of issue, serial number to be clearly visible).

Copy of Driving License or Passport.

Copy of a recent (up to 6 months) utility bill, local authority tax bill or a bank statement.

Board of Directors Resolution for the Appointment of an authorized Representative

Special Power of Attorney

Remarks

Certification standards: Copies of documents may be certified as true copies if the Client is from the EEA or an Approved country (see Appendix C below) and Apostilled if the Client is from any other jurisdiction.

Certified (True) Copy means that the person certifying the copy of the document has had sight of the original document at certification and is in a position to certify that the copy is a True and Complete copy of the original document. BROCTAGON PRIME LTD recognizes such certifications when made by independent reputable sources. Such sources must be operating in the EEA or an Approved Country (see Appendix C below) and indicatively include the Client's Bank, the Client's Legal Counsel, a Solicitor/Lawyer or Public Accountant regulated by a professional body (membership number required). BROCTAGON PRIME LTD requires that the certification process includes the Authenticator stating his name, capacity/position, signature, date and Official Seal on the documents being certified.

Apostilled copies: Documents should be apostilled in accordance with the provisions of the relevant Hague Convention.

Kindly note that BROCTAGON PRIME LTD may always and at any time revert back to you requesting further information, clarifications and documentation from your behalf with respect to your application for opening an account or the maintenance and continuation of your account following approval.

APPENDIX A

1. POLITICALLY EXPOSED PERSON

The meaning 'Politically Exposed Persons' includes the following natural persons:

- (a) heads of State, heads of government, ministers and deputy or assistant ministers;
- (b) members of parliaments;
- (c) members of supreme courts, of constitutional courts or of other high-level judicial bodies whose decisions are not subject to further appeal, except in exceptional circumstances;
- (a) members of courts of auditors or of the boards of central banks;
- (d) ambassadors, chargés d'affaires and high-ranking officers in the armed forces;
- (e) members of the administrative, management or supervisory bodies of State-owned enterprises.

None of the categories set out above should be understood as covering middle ranking or more junior officials.

Further, where a person has ceased to be entrusted with a prominent public function within the meaning of the above definition for a period of at least one year, such persons shall not be considered a Politically Exposed Person.

2. IMMEDIATE FAMILY OR CLOSE ASSOCIATES

Politically Exposed Persons are also the immediate family members of such persons as set out under Definition 1, which means:

- (a) the spouse or the person with which cohabit for at least one year;
- (b) the children and their spouses or the persons with which cohabit for at least one year;
- (c) the parents.

Politically exposed persons are also persons known to be close associates of such persons as set out under Definition 1, which means:

- (a) Any natural person who is known to have joint beneficial ownership of legal entities or legal arrangements, or any other close business relations, with a person referred to in Definition 1;
- (b) Any natural person who has sole beneficial ownership of a legal entity or legal arrangement which is known to have been set up for the benefit de facto of the person referred to in Definition.

APPENDIX B

“**Beneficial Owner**” means the natural person or natural persons, who ultimately owns or control the Client and/or the natural person on whose behalf a transaction or activity is being conducted. The Beneficial Owner shall at least include:

- (a) In the case of corporate entities:
 - i. the natural person or natural persons, who ultimately own or control a legal entity through direct or indirect ownership or control of a sufficient percentage of the shares or voting rights in that legal entity, including through bearer share holdings, a percentage of 10% plus one share be deemed sufficient to meet this criterion.
 - ii. the natural person or natural persons, who otherwise exercise control over the management of a legal entity.

- (b) In the case of legal entities, such as foundations and legal arrangements, such as trusts, which administer and distribute funds:
 - i. where the future beneficiaries have already been determined, the natural person or natural persons who is the beneficiary of 10% or more of the property of a legal arrangements or entity;
 - ii. where the individuals that benefit from the legal arrangement or entity have not yet to be determined, the class of persons in whose main interest the legal arrangement or entity is set up or operates.
 - iii. the natural person or natural persons who exercise control over 10% or more of the property of a legal arrangement or entity.

APPENDIX C

Third countries which are considered as having equivalent AML/Combating the Finance of Terrorism systems to the EU. The list may be reviewed, in particular in the light of public evaluation reports adopted by the FATF, FSRBs, the IMF or the World Bank according to the revised 2003 FATF Recommendations and Methodology. As of February 2012, these countries are:

1. Australia
2. Brazil
3. Canada
4. Dutch overseas territories (Aruba, Curacao, Sint Maarten, Bonaire, Sint Eustatius and Saba)*
5. French overseas territories (Mayotte, New Caledonia, French Polynesia, Saint Pierre and Miquelon and Wallis and Futuna)*
6. Hong Kong
7. India
8. Japan
9. South Korea
10. Mexico
11. Singapore
12. Switzerland
13. South Africa
14. The United States of America
15. UK Crown Dependencies (Jersey, Guernsey, Isle of Man) may also be considered as equivalent by Member States.

* Those overseas territories are not members of the EU/EEA but are part of the membership of France and the Kingdom of the Netherlands of the FATF.