



Application Form
Client Investment profile Questionnaire
LEGAL ENTITIES

WARNING: Unless this questionnaire is fully completed, we will not be able to assess the appropriateness of any envisaged services or transactions

1. Registration Details of the Company

<p>Full Company name (“the Company”): _____</p> <p>Trading Name: _____</p> <p>Date of incorporation: ____/____/____ (dd/mm/yyyy)</p> <p>Country of incorporation: _____</p> <p>Registration number: _____</p>	<p>Registered Office</p> <p>Street / No. : _____</p> <p>Town/City: _____</p> <p>Postcode: _____</p> <p>Country: _____</p> <p>Telephone: _____</p> <p>E-mail: _____</p> <p>Fax: _____</p>
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2. Contact Details – Communication with the Company

<p>Correspondence Address / Trading Address (if different from above)</p> <p>Street / No. : _____</p> <p>Town/City: _____</p> <p>Postcode: _____</p> <p>Country: _____</p> <p>Telephone: _____</p> <p>E-mail: _____</p> <p>Fax: _____</p> <p>Web-site: _____</p>	<p>Company’s Contacts</p> <p>Full Name: _____</p> <p>Position: _____</p> <p>Telephone: _____</p> <p>E-mail: _____</p> <p>Fax: _____</p> <p>Full Name: _____</p> <p>Position: _____</p> <p>Telephone: _____</p> <p>E-mail: _____</p> <p>Fax: _____</p> <p>Full Name: _____</p> <p>Position: _____</p> <p>Telephone: _____</p> <p>E-mail: _____</p> <p>Fax: _____</p>
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3. Directors of the Company

Details of all Directors of the Company:

Name of Director	Residential Address of Director	Date of Birth

4. Ownership of the Company

Shareholder details of the Company:

Name of Shareholder	Ownership Percentage (%)	Residential Address of Shareholder

Shareholder who are corporate entities

If any shareholder is a corporate entity please provide a breakdown of the individual shareholding of that company in the table below, along with a corporate group structure (up to the beneficial owner):

Name of Shareholder / Corporate Entity	Ownership Percentage (%)

5. Company's Activities

- | | |
|--|---|
| <input type="checkbox"/> National or regional government | <input type="checkbox"/> Pension Fund |
| <input type="checkbox"/> A public body managing public debt | <input type="checkbox"/> Managing company of a Fund |
| <input type="checkbox"/> International institution such as World Bank, IMF etc. | <input type="checkbox"/> Listed company |
| <input type="checkbox"/> Credit institution | <input type="checkbox"/> Private enterprise |
| <input type="checkbox"/> Investment Firm | <input type="checkbox"/> Trust |
| <input type="checkbox"/> Regulated or authorised financial institution (please specify) | <input type="checkbox"/> Fund |
| <input type="checkbox"/> Undertakings for Collective investment scheme or its managing company | <input type="checkbox"/> Insurance company |
| <input type="checkbox"/> Other (please specify): | |

6. Investment Goals

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"/> Eurobonds |
| <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: |

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+

Expected Level of Investment risk

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

Investment Objectives¹

- Capital Protection Capital Growth Speculation Income Generation Income Generation + Capital Growth Other (please specify)

Funds Available for investments (EURO): _____

Choose Base Currency

- USD EUR GBP

7. Company’s Experience and Knowledge of investments or the Trader’s Experience and Knowledge of investments

Description of how trading decisions are made (tick what is best describe the Company’s processes)	TICK	Number of qualified professionals	Please complete individual Trader Experience Form (Appendix 1) for each qualified professional (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.			

8. Company’s Economic Profile

Anticipated Yearly Account Turnover	<input type="checkbox"/> ≤ 10,000 <input type="checkbox"/> ≤ 30,000 <input type="checkbox"/> ≤ 50,000 <input type="checkbox"/> ≤ 100,000 <input type="checkbox"/> ≤ 500,000 <input type="checkbox"/> ≤ 1,000,000 <input type="checkbox"/> Other.....
Description of the Customer’s business	
Authority regulating Customer’s activities (Name/details of licence)	
Source of funds	
Expected origin of incoming funds to be credited in the account	
Expected destination of outgoing transfers	
Annual turnover (euro)	
Gross profit	
Net profit	
Balance sheet total (euro)	
Own funds (euro)	
Persons on which behalf customer is acting (if applicable)	
Purpose and reason for opening the account	

9. Personal Declaration

Do any of the Directors/shareholders/beneficial owners/authorised signatories/representatives hold or held in the last 12 months any prominent public functions (i.e. head of State, head of government, minister or deputy or assistant minister; member of parliament; member of supreme courts, of constitutional courts or of other high-level judicial bodies; member of courts of auditors or of the boards of central bank; ambassador; high-ranking officer in the armed forces; member of the administrative, management or supervisory bodies of State-owned enterprises)

_____ **YES** _____ **NO**

Is any of the immediate family members or close associate of the above persons is such person? (the spouse or the person with which he/she cohabit for at least one year, their children and their spouses or the persons with which cohabit for at least one year, their parents, any natural persons who is known to have joint beneficial ownership of legal entities or legal arrangements, or any other close business relations, with a PEP, 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 a PEP)

_____ **YES** _____ **NO**

Does the legal entity involved in the Electronic gambling / gaming activities through the internet?

_____ YES _____ NO

Does the legal entity offer services (e.g. payment provider, software house, card acquirer) to persons involved in Electronic gambling / gaming activities through the internet?

_____ YES _____ NO

Does the authorised representative (trader) work in the past 5 years in the financial services sector for more than 1 year?

_____ YES _____ NO

If Yes please indicate position and company name:

Does the authorised representative (trader) has any certificate/licence issue by any regulatory body or Ministry?

_____ YES _____ NO

If Yes please provide detail information:

Have any of the Directors/shareholders ever declared bankruptcy?

_____ YES _____ NO

10. Bank Account Details

Bank Name: _____

Bank Address/country: _____

Account Holder Name: _____

Joint Account Holder Name: _____

Account Number: _____

Swift Code: _____

IBAN No: _____

Sort Code: _____

11. Consents required under the Markets in Financial Instruments Directive

Under the CYSEC Rules that implements the European Markets in Financial Instruments Directive (“MiFID”), we need to obtain your **express consent** or instruction in order to do the following:

- we need your written consent to execute your orders outside a regulated market; and
- if you wish us to have the flexibility not to make details of your unexecuted limit orders to buy or sell European listed shares immediately public in the event that we are unable to execute them under prevailing market conditions, then you need to give us a specific instruction to this effect.

We give consent for Concorde Investments (Cyprus) Ltd to execute orders on our behalf outside a regulated market	_____ YES _____ NO
Where we have given you a limit order relating to shares that have been admitted to trading on a regulated market and Concorde Investments (Cyprus) Ltd is unable to execute the order immediately under prevailing market conditions, we do not require Concorde Investments (Cyprus) Ltd to make the requisite details of that order immediately public but instead permit Concorde Investments (Cyprus) Ltd (or, as the case may be, the immediate broker through whom Concorde Investments (Cyprus) Ltd has chosen to execute the order) to exercise discretion as to whether or not the requisite details of the order are made public.	_____ YES _____ NO

12. Declarations and Signature of the Company

The following officers, 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 **Concorde Investments (Cyprus) 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.

Executed by the Company acting by its duly authorised representatives

Full name of Company:

Signature:

Name (print):

Position / Title:

Signature: Date:

Name (print):

Position / Title:

Signature: Date:

Name (print):

Position / Title:

Signature: Date:

(Company Seal / Stamp)

Should **Concorde Investments (Cyprus) Ltd** and the Company enter into an agreement this form and the information set out in it will constitute part of the contract.

13. List of Required Documents

A true translation should be attached in the case that the following documents/data are in a language other than Greek or English.

All documents/data should be in their original form or apostilled or notarized

1	Certificate of Incorporation	<input type="checkbox"/>
2	Memorandum and Articles of Association	<input type="checkbox"/>
3	Resolution of the Board of Directors to open an account and conferring authority to those who will operate it	<input type="checkbox"/>
4	Certificate of Registered Office	<input type="checkbox"/>
5	Certificate of Directors and Secretary	<input type="checkbox"/>
6	Certificate of Registered Shareholders	<input type="checkbox"/>
7	Company Licence (if applicable)	<input type="checkbox"/>
8	Declaration for the ultimate beneficial owners of the company (if different from shareholders)	<input type="checkbox"/>
9	In the cases where the registered shareholders act as nominees of the beneficial owners, 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.	<input type="checkbox"/>
10	Certificate of good standing	<input type="checkbox"/>
11	Recent, up to 6 months, bank statement/Utilities bill (Electricity authority, Telecommunication authority, etc.), Local authority tax bill	<input type="checkbox"/>
12	The latest (last 3 years) audited financial statements (if available), and/or the latest management accounts	<input type="checkbox"/>
13	For all Director/shareholders/beneficial owners/authorised signatories/representatives: a) ID card (for Cypriot residence) and/or Passport for non-Cypriot residence b) Recent, up to 6 months, Utilities Bill (Electricity Authority, Telecommunication Authority etc.), and/or Bank Reference/Statement etc. c) Power of Attorney (for representatives only)	<input type="checkbox"/>

Notes 1:

- Capital Protection:** Preserve capital while seeking growth at rate linked to a stockmarket Index. Recommended investment period is 3-5 years.
- Capital Growth:** Maximize capital appreciation or the increase in value of a portfolio over the long term. Investments targeted for capital growth tend to have more risk than assets chosen for capital protection and income generation. Recommended investment period is over 5 years.
- Income Generation:** Investment income earned from interest, dividends etc. as opposed to that derived from increases in asset value. Risk is usually less than investments targeted for capital growth.
- Income Generation + Capital Growth:** Combination of (b) and (c).
- Speculation:** This type of investments does not promise safety of the initial investment along with the return on the principal amount. Speculators usually select investments with higher risk in order to profit from an anticipated price movement. Speculation involves a significant risk of the loss of the principal investment.

For Official Use Only	
Date in:	Checked by:
Date processed:	Processed by:
Account Number:	
Approved By:	
Back office / Date (dd/mm/yyyy)	Compliance Officer/CEO / Date (dd/mm/yyyy)
_____ Signature	_____ Signature
_____ Date	_____ Date

Appendix 1 – Individual Experience Form**1. Personal Details (to be completed by ALL Traders)**

Full Name: _____	Full name of the entity employed by or authorised to act for: _____
Date of Birth: ____ / ____ / _____ (dd/mm/yyyy)	_____
Country of Residence: _____	
Passport Number: _____	

2. Experience and Knowledge of investments / Financial instruments

Please indicate which of the following types of investments/financial instruments you have previously traded in a personal and/or professional capacity.

Type of Financial Instruments	Number of Years traded	Average value/size of transaction (Euro)	Average frequency of transaction per quarter during the last year
Transferable securities		_____ (value)	Less than 10: 10 or more: Trades/quarter
Shares		_____ (value)	Less than 10: 10 or more: Trades/quarter
Eurobonds		_____ (value)	Less than 10: 10 or more: Trades/quarter
Corporate Bonds		_____ (value)	Less than 10: 10 or more: Trades/quarter
Government or municipal bonds		_____ (value)	Less than 10: 10 or more: Trades/quarter
Promissory notes		_____ (value)	Less than 10: 10 or more: Trades/quarter
Units in collective investment undertakings (UCTIS)		_____ (value)	Less than 10: 10 or more: Trades/quarter
Options, futures, swaps, FRAs relating to securities		_____ (value)	Less than 10: 10 or more: Trades/quarter
Options, futures, swaps, FRAs relating to commodities that must be settled in cash		_____ (value)	Less than 10: 10 or more: Trades/quarter
Options, futures, swaps, FRAs relating to commodities that can be physically settled and also they are traded		_____ (value)	Less than 10: 10 or more: Trades/quarter
Derivative instruments		_____ (value)	Less than 10: 10 or more: Trades/quarter
Contracts for differences (CFDs)		_____ (value)	Less than 10: 10 or more: Trades/quarter
Spot and Forward Foreign Exchange		_____ (value)	Less than 10: 10 or more: Trades/quarter

Options, futures, swaps, FRAs relating to climatic variable, inflation rates etc.		_____ (value)	Less than 10: 10 or more: Trades/quarter
Repos		_____ (value)	Less than 10: 10 or more: Trades/quarter
Over the counter & other Off Exchange Contracts		_____ (value)	Less than 10: 10 or more: Trades/quarter
Other instrument:		_____ (value)	Less than 10: 10 or more: Trades/quarter
Other instrument:		_____ (value)	Less than 10: 10 or more: Trades/quarter

3. Experience of working in the financial sector

	Duration of employment (months/years)	Name of Employer	Position	Related markets (i.e. LSE, ...)	Related product(s) (i.e. CFDs, options ...)
1					
2					
3					
4					
5					

4. Academic or professional qualifications

	Year(s) of participation	Name of institution (i.e. London School of Economics, Chartered institute for securities and investments, ...)	Name of qualification, course or seminar	Related markets (i.e. LSE, ...)	Related product(s) (i.e. CFDs, options ...)
1					
2					
3					
4					
5					

I confirm that:

- I consent to your collection and processing of my personal data for the purpose of enabling **Concorde Investments (Cyprus) 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 Concorde Investments (Cyprus) Ltd in writing.
- The details contained in this form are correct and complete; and

- I will inform **Concorde Investments (Cyprus) Ltd** immediately in the event that any of the information given in this form becomes, or is subsequently found to be, incomplete.

Signature: _____

Date: _____