



Application Form
Client Investment Profile Questionnaire
NATURAL PERSONS

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

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): _____

What is the origin of your investment capital to be used for trading: _____

Choose Base Currency

USD EUR GBP

4. 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
Eurobonds		_____ (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

5. 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					

6. 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					

7. 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.....
Source of funds	
Expected origin of incoming funds to be credited in the account	
Expected destination of outgoing transfers	
Profession or Occupation	
Name of the Employer	
Address of the Employer	
Annual gross salary (euro)	
Other Income (please specify)	
Annual Expenses	
Number of Dependents	
Liabilities (loans etc.)	
Persons on which behalf customer is acting (if applicable)	
Purpose and reason for opening the account	
Principal Assets of the Customer (Please describe)	
Description	Value
Rear Estates	
Financial Instruments	
Precious Metals	
Bank Deposits	
Other (Describe)	
Other (Describe)	
Other (Describe)	
TOTAL	

8. Personal Declaration

Do you or the authorised representative 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

Do you or your employer or an affiliated company involved in the Electronic gambling / gaming activities through the internet?

..... YES NO

Do you or your employer or an affiliated company offer services (e.g. payment provider, software house, card acquirer) to persons involved in Electronic gambling / gaming activities through the internet?

..... YES NO

Do you or the authorised representative 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:

<p>Do you or the authorised representative have any certificate/licence issue by any regulatory body or Ministry?</p> <p>..... YES NO</p> <p>If Yes please provide detail information:</p> <p>_____</p> <p>_____ -</p> <p>_____</p>
<p>Have you ever declared bankruptcy?</p> <p>..... YES NO</p>

9. Bank Account Details

Bank Name: _____

Bank Address/country: _____

Account Holder Name: _____

Joint Account Holder Name: _____

Account Number: _____

Swift Code: _____

IBAN No: _____

Sort Code: _____

10. 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.

<p>We give consent for Concorde Investments (Cyprus) Ltd to execute orders on our behalf outside a regulated market</p>	<p>YES</p> <p>NO:</p>
<p>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 required 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.</p>	<p>YES</p> <p>NO:</p>

11. Declarations and Signature

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

- I certify that I am authorised to sign in respect of all the accounts to which this form relates.
- I confirm that all statements made in this declaration are correct and complete
- I undertake to advise **Concorde Investments (Cyprus) Ltd** immediately of any change in circumstances which causes the information herein to become incorrect.
- I agree to be bound by any provisions included in this form.

Executed by the Client or by its duly authorised representative

Full Name: _____

Signature: _____ Date: _____

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.

Signed: _____

Date: _____

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

12. 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	ID card (for Cypriot residence) and/or Passport for non-Cypriot residence	<input type="checkbox"/>
2	Recent, up to 6 months, Utility bill (Electricity authority, Telecommunication authority, Local authority tax bill etc.) and/or bank reference/statement etc.	<input type="checkbox"/>
3	Power of Attorney (for representatives only – if applicable)	<input type="checkbox"/>
4	For all authorised representatives: a) ID card (for Cypriot residence) and/or Passport for non-Cypriot residence	<input type="checkbox"/>

	b) Recent Utilities bill (Electricity authority, Telecommunication authority etc.), and/or bank reference/statement etc.	
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Notes 1:

- a) **Capital Protection:** Preserve capital while seeking growth at rate linked to a stockmarket Index. Recommended investment period is 3 to 5 years.
- b) **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.
- c) **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.
- d) **Income Generation + Capital Growth:** Combination of (b) and (c).
- e) **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