

1. PLACE AND DATE

Place	Date

2. QUALIFIED ASSET MANAGER INFORMATION (mandatory)
a. General Information
 Company

Corporate name:

Country:

Registered address:

 Registered number: E-mail:

 Day Phone Number: Mobile Phone:
 Signatory 1

 First name: Last name:

Country of residence:

Address:

 Date of birth: E-mail:

 Day Phone Number: Mobile Phone:

Relationship to company:

 Signatory 2

 First name: Last name:

Country of residence:

Address:

 Date of birth: E-mail:

 Day Phone Number: Mobile Phone:

Relationship to company:

 Individual

First name:

Last name:

Country of residence:

Address:

 Date of birth: E-mail:

 Day Phone Number: Mobile Phone:
b. Already client with Swissquote Ltd?
 Yes No

Type (Individual, IB, QAM, other?):

Account number:

c. Were you introduced by an Introducing Agent?

 Yes No

Introducing Agent Name:

TCA Number:

3. PROFESSIONAL EXPERIENCE OF FINANCIAL MARKETS (mandatory)

a. Are any regulatory license(s) required by the financial authorities?

 Yes No

If yes, state which?

Are you regulated? By whom?

b. Website

 Yes No

If yes, please indicate:

 Would you like to show our logo
 in your website? If so why?

c. Please briefly describe the business activity:

 Nature of business, goals,
 geographic range, etc.:

 d. In addition mark with an **x** if you offer some of the following services

 Introducing clients/Agents Advisory Training Signals Alerts Web
 Programming trading tools (e.g. Expert Advisor) Others

e. Awards or similar recognition received:

 Yes No

Details:

f. Professional training undertaken:

 Yes No

Details:

g. Years of experience in:

Finance:

Forex:

h. Are there any issues with clients, regulators or similar authorities that we should know about?

Conflicts:

 Cases in
 Courts:

i. Have you referred clients to other providers?

 Yes No

Which providers?

4. QAM BUSINESS MODEL (mandatory)

a. Country of residence of introduced clients:

Countries of residence:	% of total client base

b. Are you aware about risks of cross border business?

 Yes No

Details:

c. Promotion of your services:

Internet	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Print media or TV	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Visits, phone calls, e-mails	<input type="checkbox"/> Yes	<input type="checkbox"/> No

d. What type of clients do you intend to introduce to Swissquote Ltd (professional or retail clients, HNW individuals, institutional clients)?

Details:

e. Promotion scheme of services

<input type="checkbox"/> Passive solicitation (Clients contact you, selective networking)	<input type="checkbox"/> Active solicitation (Your network contacts clients, open advertising)
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5. EXPECTED COMMERCIAL ACTIVITY BETWEEN IB & SWISSQUOTE Ltd (mandatory)

Expected number of clients within:

1 month:	3 months:	6 months:	1 year:
Expected average client initial investment per client (in GBP):			
Expected total net investment of clients after one year (in GBP):			
Expected total number of traded lots round turn per month for total of clients:			

6. ADDITIONAL INFORMATION (mandatory)

a. Do you plan to charge commission to your clients?

 Yes No

If yes, please indicate how much per lot:

b. What type of Fees would you be charging to your clients?

-
- Fixed Fees
-
-
- Account Opening Fees
-
-
- Performance Fees
-
-
- Maintenance Fees

c. Would you like to request a MAM License?

 Yes No

Why?

d. Type of Trading model:

 Manual Trading Expert Advisor Hybrid

Place	Asset Manager
Date	