

1. PLACE AND DATE

Place	Date

2. INTRODUCING BROKER 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 a client with Swissquote Ltd?

 Yes No

c. Were you introduced by an Introducing Agent?

 Yes No

Introducing Agent Name:

3. PROFESSIONAL EXPERIENCE OF FINANCIAL MARKETS (mandatory)

a. Website

 Yes No

If yes, please indicate:

b. Please briefly describe the business activity:

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

 c. 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

d. Years of experience in:

Finance:

Forex:

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

 Yes No

If yes, state which?

Are you regulated? By whom?

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

Conflicts:

 Cases in
 Courts:

g. Have you referred clients to other providers?

 Yes No

Which providers?

4. IB 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

 Passive solicitation
(Clients contact you, selective networking)

 Active solicitation
(Your network contacts clients, open advertising)

f. Commission structure

 Do you plan to charge commission? Yes No

If yes, please specify the commission per lot:

 What spreads do you want your clients to trade on? Standard spreads Increased spreads

5. EXPECTED COMMERCIAL ACTIVITY BETWEEN IB & SWISSQUOTE Ltd (mandatory)

Expected number of clients within:

1 month:	3 months:	6 months:	1 year:
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Expected average initial investment per client (in GBP):

Expected total number of traded lots round turn per month in the first year:

Place	Introducing Broker
Date	