



EC MARKETS

Individual Account Application Form

EC Markets

Thank you for choosing EC Markets Group Ltd. To make it easy and convenient to open your account, we have included all the necessary forms in this application pack. Completing the application process is easy:

Step 1: Complete Customer Account Application (page 3- to 07)

Read the Client Agreement (page 06)

Review and sign (page 07)

If you are interested to be classified as professional client, please complete & sign Annex 1 & Annex 2.

Step 2: INDIVIDUAL IDENTITY VERIFICATION

Required of all authorised signatories of account

Please submit two (2) forms of identification:

- One (1) photo ID (i.e. passport or any other government-issued document evidencing nationality or residence and bearing a photograph).
- One (1) proof of address as represented on this application (i.e. utility bill, bank statement).

Step 3: Submit your completed, signed application (in its entirety) and your two forms of identification to:

Via E-mail (for expedited processing):

support@ecmarkets.co.uk

Or by post: New Broad Street House,
35 New Broad Street,
London, EC2M 1NH, UK.

Before proceeding it is important you read our Risk Warning, Terms and Conditions of Business, Conflicts Policy, Order Execution Policy and Privacy Policy. They can be found at our website www.ecmarkets.co.uk.

www.ecmarkets.co.uk support@ecmarkets.co.uk **Tel: +44 207 621 7978**

EC Markets is a trading name of EC Markets Group Ltd.

EC Markets Group Ltd is authorised and regulated by the Financial Conduct Authority FRN: 571881 and registered in England and Wales: 07601714. Registered Address: 45 King William Street, London, United Kingdom, EC4R 9AN. Trading Address: New Board Street House, 35 New Broad Street, London, EC2M 1NH, UK.

Customer Account Application

Account Application and Customer Information Disclosure

PLEASE COMPLETE THIS APPLICATION IN BLOCK LETTER:

This Application must be completed in full or it will not be processed. EC Markets Group Ltd will not disclose, share or sell your personal information to third parties. You must be at least 18 years of age to open an account. Please type or print clearly.

Date: ____/____/____

1- APPLICANT INFORMATION				
Applicant Name				
Title		First Name		Last Name
Date of Birth				
Has the applicant ever been declared bankruptcy?				<input type="radio"/> Yes <input type="radio"/> No
If "Yes", provide details.				
2- RESIDENTIAL ADDRESS				
Apartment or Suite Number		Street Address		
City	State/Province	Postcode	Country	
Phone Number		Email		
PREVIOUS ADDRESS (if current address is less than 3 years)				
Apartment or Suite Number		Street Address		
City	State/Province	City	State/Province	
Phone Number		Email		
3- TRADING INFORMATION				
What will be your Anticipated/First deposit?		Intended Purpose of the Account (please check all that apply)		
Amount EUR/GBP/USD: _____		<input type="checkbox"/> Speculative <input type="checkbox"/> Hedging <input type="checkbox"/> Manage Risk <input type="checkbox"/> Other _____		
Source of wealth – Please indicate whether the source of wealth was derived from such as:				
Income	Savings	Inheritance	Investments	Properties or shares or other, please elaborate
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



4- GENERAL TRADING EXPERIENCE

	Years Traded	Frequency of Trades
What is your experience trading CFDs (Contracts for differences) over-the-counter (OTC)?		
What is your margin currencies trading experience (OTC Foreign Exchange derivatives or rolling spot forex)?		
What is your experience trading commodities? (Margin Trading)		
What is your experience trading futures? (Margin Trading)		

5- TRADING KNOWLEDGE

When you make a deposit of \$5,000 and the instrument leverage is 1:30 what is the maximum leveraged amount you can trade with?

<input type="radio"/> \$ 5,000	<input type="radio"/> \$ 15,000	<input type="radio"/> \$ 150,000	<input type="radio"/> \$ 300,000
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The market moves by 2%. Trading with which leverage would lead to the largest potential profit or loss?

<input type="radio"/> 1 : 2	<input type="radio"/> 1 : 10	<input type="radio"/> 1 : 20	<input type="radio"/> 1 : 30
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When you place a Stop-Loss order, what is more likely to happen?

<input type="radio"/> My position will close at a price less profitable than the price at the time of placing the stop loss.	<input type="radio"/> A Stop Loss cannot close my position.
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6- TRADING EXPERIENCE

How many times have you personally traded on average per quarter in forex, CFDs or other similar derivative instruments over the last 4 quarters?

<input type="radio"/> None	<input type="radio"/> 1 - 9	<input type="radio"/> 10 - 29	<input type="radio"/> over 30
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7- PROFESSIONAL TRADING EXPERIENCE & EDUCATION

Do you have any experience or qualifications relevant to the understanding of our products

<input type="radio"/> Yes, from a relevant role in financial institution.	<input type="radio"/> Yes, a relevant professional qualification or education.	<input type="radio"/> Yes, both of above.	<input type="radio"/> None.
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Approximately what proportion of your total income you can afford to invest with EC Markets?



<input type="radio"/> Less than 5 %	<input type="radio"/> 6 – 15 %	<input type="radio"/> 16 – 25 %	<input type="radio"/> over 25 %
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8- WILLINGNESS TO BEAR LOSS

Assuming your invested capital with EC Markets is an amount you can afford to lose without affecting your capability to meet your financial obligations. How will you feel/react in case you lose that amount as a result of trading CFDs?

<input type="radio"/> I will never trade CFDs again.	<input type="radio"/> I will reassess my trades and maybe continue trading, maybe not.	<input type="radio"/> I will evaluate my trades for a while and most likely trade again.	<input type="radio"/> I will keep on trading as long as I can.
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Investment Objectives - Which of the following statements best describes your objective for the assets you are investing?

<input type="radio"/> Investment/Income for long-term period (over one year).	<input type="radio"/> Investment/Income for mid-term period (less than a year).	<input type="radio"/> Hedging for short-term period (less than a week).	<input type="radio"/> Speculation for short-term period (less than a week).
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9- FINANCIAL INFORMATION

Employment Status	<input type="checkbox"/> Employed, <input type="checkbox"/> Unemployed, <input type="checkbox"/> Self-Employed, <input type="checkbox"/> Retired, <input type="checkbox"/> Student
Name of Employer	
Position Held	
Industry	
Time with current Employer	
If you have indicated self-employed, please confirm the estimated turnover of your business and income before tax. Please specify the Currency	Turnover Yearly Income before tax
Nature, type of self-employment and duration/length period	
Applicant's Estimated Annual Income.	EUR/GBP/USD:
Applicant's Liquid Net Worth (Assets less Liabilities).	EUR/GBP/USD:
Risk Capital (Amount that, if lost, would not jeopardise the person's financial position).	EUR/GBP/USD:

10- RESIDENCY INFORMATION

FATCA / Tax Status

The country or countries where you are a tax resident. _____

Are a US Citizen, US Resident, US Green card holder or a person with a presence in the US (mail address or any other connections with the USA)?

Yes No

If you are a US Citizen or tax resident in the USA, Jersey, Guernsey, Isle of Man or Gibraltar please enter you TIN below.

Tax Identification Number (TIN)

11- TRADING CONDITIONS

MARGIN

As a retail client we will apply the FCA margin requirements per instrument.

FEES

All our charges are included in the spread offered to you.

If there is anything you wish to query, please contact us as soon as possible.

Declaration:

Please complete this Declaration by ticking all boxes that apply to you below to indicate your acknowledgement of each item.

- I have read, understood, and agree to the Terms of Business.
- I agree to the trading conditions and fees.
- I have read, understood the Risk Warning.
- I have read and understood the Order Execution Policy.
- I have read and understood the Conflicts of Interest Policy.
- The information provided in this form and otherwise is accurate and complete and I will notify you of any material changes.

Please sign this Schedule and return a signed copy to us.

All individual account holders.

Agreement

I have read, understood and agree to the clauses set out in this Agreement.

The information provided by me in this Form and otherwise is accurate and complete and I will notify you of any material changes to this information.

This Agreement is a legally binding contractual agreement and I agree to be bound by every term and condition, including the items listed above in this Application. No modification of this Application or Agreement is valid unless accepted by **EC Markets Group Ltd** in writing. I confirm that I have received a full set of account documents and I have not made any alterations or deletions to this Application or Agreement or any such documents from the original forms. In the event that there are any alterations or deletions to this Application or Agreement, that have not been agreed and signed by **EC Markets Group Ltd** or any such documents such alteration and deletions shall not be binding on **EC Markets Group Ltd** and said original forms shall govern the Client's account relationship with **EC Markets Group Ltd**.

12 - SIGNATURE

Print Name

Signature

Date (DD / MM / YYYY)

ANNEX 1 - Elective professional client loss of retail protections

If you wish to be classified as an elective professional, we will require additional information and supporting evidence to support your request from yourself and are obliged to draw your attention to the following protections which will no longer apply if we treat you as a *Professional Client*:

- **Appropriateness:**

Where we are assessing the appropriateness of our services to you, we are entitled to assume that you have the necessary level of experience and understanding to understand the risks involved.

- **Your Understanding of Risk:**

As a *Professional Client* we can make certain assumptions about your understanding of risks which is not the case if you are categorised as you as a *Retail Client*.

- **Communications:**

We may have regard to your investment expertise when complying with requirements under the regulatory system that communications must be fair, clear and not misleading. Whilst, however, we would seek to ensure that communications comply with this standard, the level of detailed disclosures is reduced for *Professional Clients*.

- **Information disclosures:**

The level of information that the Firm is required to disclose about itself and its services is not as detailed as is required for a *Retail Client*.

- **Complaints and Disputes:**

You would lose the right of access to the Financial Services Ombudsman for arbitration on complaints or disputes.

- **Non-compensation under the Financial Services Compensation Scheme:**

Professional Clients are unlikely to be “eligible complainants” entitled to compensation under the Financial Services Compensation Scheme in the event that an authorised firm is unable to fulfil its financial obligations.

Client Money:

That as a Professional Client and according to clause 12 of the trading agreement, you hereby acknowledge (unless EC Markets agrees in writing in a separate letter) that:

- (1) money deposited by you with EC Markets will not be subject to the protections conferred by the client money rules;
- (2) as a consequence, this money will not be segregated from the money of the firm in accordance with the client money rules and will be used by the firm in the course of its own business;
- (3) you will rank only as a general creditor of the firm.

If, after reading the above statements, you agree to be categorised as *Professional Client* for the provision of our services, please complete the application, provide all the documentary evidence to support this assessment and EC Markets will send you an addendum for you to confirm and sign your agreement to these terms.



TRADING CONDITIONS FOR PROFESSIONAL CLIENTS

MARGIN

As a Professional client we will apply the following margin requirements per instrument or group of instruments.

FEES

Fee of **USD7** per lot charged when the trade is initiated. (For non-US dollar denominated accounts, the per lot charged will be equivalent to USD 7). All our charges are included in the spread offered to you.

PROFESSIONAL CLIENT SIGNATURE

Print Name

Signature

Date (DD / MM / YYYY)

ANNEX 2 - Elective professional client only – Additional information required

ADDITIONAL TRADING INFORMATION AND INFORMATION REQUIRED TO QUALIFY AS AN ELECTIVE PROFESSIONAL AND CATEGORISATION INFORMATION

Expected Average daily Volume (USD Millions)	Expected Average Daily trades or lots.
Will you be holding positions overnight?	If the answer is YES, please indicate the Open positions amounts.

If you would like EC Markets to consider the option to be classified as an elective professional, please indicate so in the following question. Please also complete the following section and provide sufficient supporting evidence to support your request. EC Markets is not obliged to opt you up to an elective professional

Would you like to EC Markets to potentially categorise according to the FCA rules as an elective professional? Please read the notes in Annex 1. If you answer YES, please complete this section, if you answer NO, please proceed to banking information.	<input type="radio"/> Yes <input type="radio"/> No
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Please complete the following questions for yourself	
Has the Applicant carried out transactions, in significant size, on the relevant market at an average frequency of 10 per quarter over the previous four quarters?	<input type="radio"/> Yes <input type="radio"/> No
Does the Applicant have an investment portfolio (Cash and Financial Instruments) in excess of EUR 500,000?	<input type="radio"/> Yes <input type="radio"/> No
Does the Applicant work or has worked in the financial sector for at least one year in a professional position, which requires knowledge of the transactions or services envisaged?	<input type="radio"/> Yes <input type="radio"/> No
If you answered "Yes" please provide details statements and enclose a CV:	

BANKING INFORMATION FOR PROFESSIONAL CLIENTS	
Bank Name	Name on Bank Account
Address	Country
IBAN	Swift
Account Number	Sort Code
Currency: <input type="checkbox"/> USD <input type="checkbox"/> GBP <input type="checkbox"/> EURO	