Professional Client Classification

StoneX®

Please complete this form and return to apply for professional client status

1. Client Information

Company Name
(If applicable)

Account Number
(If applicable)

First Name

Last Name

Email Address

Phone Number

Total Annual Income (please tick the box that applies to you):

- ☐ €200,000+
- ☐ €25,000 - €49,999
- ☐ €100,000 - €199,999
- ☐ €10,000 - €24,999
- ☐ €50,000 - €99,999
- ☐ Less than €10,000

Sources of Wealth (Choose all that apply):

- ☐ Business Revenue
- ☐ Employment Salary
- ☐ Trust Fund
- ☐ Investments
- ☐ Inheritance
- ☐ Other

Other (please specify)

2. Qualifying Criteria

To qualify you need to meet (& tick) at least two of the three criteria below and provide relevant supporting EVIDENCE based on your choices and confirmations (otherwise StoneX Europe Ltd will not be able to proceed). Please tick all that apply.

☐ Criteria1 – You have traded, in significant size, in the Forex/CFD markets or other leveraged products (e.g. Spot FX, forwards, futures, swaps, options, other derivatives etc.) at an average frequency of 10 transactions per quarter over the previous four quarters (with StoneX Europe Ltd and / or other providers).

Significant size: could be for example deemed as a minimum notional value of, for example, €100,000 on forex, €50,000 on indices, €10,000 on single stock CFDs, however this is assessed on case by case basis.

☐ Criteria2 – The size of your financial instrument portfolio, defined as including cash deposits and financial instruments, exceeds EUR 500,000 (or equivalent in your local currency).

Please confirm your Net Savings and Investments (savings and liquid assets minus liabilities e.g. any outstanding loans you have - please tick the box that applies to you):

- ☐ €500,000+
- ☐ €5,000 - €49,999
- ☐ €150,000 - €499,999
- ☐ €1,000 - €4,999
- ☐ €50,000 - €149,999
- ☐ Less than €1,000

✓ Example of savings and investments we accept: Cash savings, stock portfolio, stocks and shares ISA, trading accounts, mutual funds, SIPP (excluding non-financial instruments).

✗ Example of savings and investments we can't accept: Company pension, non-tradeable assets, property, luxury cars, jewellery.

2. Qualifying Criteria (continued)

☐ Criteria 3 – You work or have worked in the financial sector for at least one year in a professional position, which requires knowledge of the transactions or services envisaged.

If you tick this box please complete the following fields:

What is the name of your most relevant employer?

Is this employer regulated by a financial regulatory body? (e.g. the CySEC, or another equivalent regulator)

Yes ☐ No ☐

What is / was your job title / role?

How has this role given you knowledge of CFDs or Forex?

Do you have qualifications that assist your understanding of CFDs?
(e.g. CFA, IMC, CISI)

Yes ☐ No ☐

If yes, please specify:

Have you personally ever been regulated by the CySEC or another equivalent regulatory body?

Yes ☐ No ☐

If yes, please specify:

3. Qualitative Assessment

1. Once ESMA's leverage restrictions are imposed for retail clients, do you understand that trading as a professional will involve a greater risk of loss than trading as a retail client as you are trading on higher leverage rates?

Yes ☐ No ☐

2. Are you confident you have the adequate expertise, experience and knowledge to allow you to manage your account on the higher leverage rates that will apply to a professional account?

Yes ☐ No ☐

4. Changes to Protection Rights

Below we have provided you with a notice of the regulatory protections and compensation rights that may not be available to a Professional Client.

5. Agreement

☐ I confirm that for the purposes of my account(s) with StoneX Europe Ltd, I wish to be treated as a professional client. I understand that StoneX Europe Ltd will treat this as a written request from me to be treated as a professional client and will subsequently assess whether I qualify for such client categorisation. I confirm that the information I have provided is accurate and complete to the best of my knowledge and ability. I also understand that it's my responsibility to notify StoneX Europe Ltd if anything changes that might affect my eligibility to be classified as a professional client.

Full Name Signature

Date (DD/MM/YYYY)

Notice of Change to Your Regulatory Protections

Margin and Leverage Limits: As a Professional Client your leverage limits and margin rates will not be affected by ESMA rule changes.

ESMA (the European Securities and Market Authority) has agreed on intervention measures to restrict the sale of CFDs to retail clients. These rules limit the amount of leverage that a retail client is exposed to on various products and increases the margin required to trade. Leverage limits for retail clients will be as follows:

30:1 for major currency pairs;
20:1 for non-major currency pairs, gold and major indices;
10:1 for commodities other than gold and non-major equity indices;
5:1 for individual equities and other reference values;
2:1 for cryptocurrencies.

Product Features: As a Professional Client, ESMA changes to product features made mandatory for a retail client will not be mandatory for you.

Retail clients will benefit from the below product features that are not mandatory for Professional Clients.

- a mandatory close out if margin levels fall below 50% of the original margin
- requirement; mandatory negative balance protection on a per account basis;
- a restriction on the incentives offered to trade CFDs; and
- a standardised risk warning, including the percentage of losses on retail investor accounts.

Communications: All communications with our clients are required to be fair, clear and not misleading, although as a Professional Client we may use more sophisticated language when dealing with you. We are required to use simple language and be very balanced when describing the risks and benefits of trading leveraged products when communicating with a retail client.

Knowledge and experience: we may assume that a Professional Client has the necessary level of knowledge and experience to understand the risks involved with trading leveraged products. For retail clients, this assumption is not available, and we would be required to satisfy ourselves that our services / products are appropriate for that retail client.

Client Money: As a Professional Client, we will hold your money as Client Money in accordance with clauses 27.1 and 27.2 of the General Terms. Any money which you have transferred or transfer to us, or which has been transferred to us on your behalf, which is Client Money within the meaning of the Safeguarding of Client Funds Rules, will be held by us on trust for you at all times and for this purpose, and in accordance with the requirements of the Safeguarding of Client Funds Rules, it must be and will be segregated from our own money. In the event of our insolvency, your money will be excluded from our assets.

Best execution: We owe both our retail clients and our Professional Clients a duty of best execution. Although these rules may allow us to apply this duty differently for different client categorisations, we will execute your orders in the same way that we execute a retail client's orders.

Trade confirmations: We will send out trade confirmations to you by the end of the first business day following the execution of the trade, or earlier. The content of such confirmations is more prescribed for retail clients but we will provide trade confirmations to retail and Professional Clients in the same manner.

Only Retail Clients may be entitled to compensation from the Cyprus Investor Compensation Fund in case of inability of StoneX Europe Ltd to repay its obligations.Key information document for packaged products: This documentation will be available to our retail and Professional Clients although the requirements to provide a "Key Information Document" to retail clients do not apply to Professional Clients.

You can view and read our full Client Categorisation Policy on our website. The Policy can be found within the Terms and Policies section of our website
https://www.forex.com/ie/terms-and-policies/important-information/

Acknowledgement

☐ I acknowledge that by electing to be a Professional Client I may lose some protections afforded by the CySEC rules (as detailed above) and that I understand the consequences of losing such protections.

Full Name Signature

Date (DD/MM/YYYY)

We may require further information from you and will contact you as soon as we have reviewed your application.