

Direct Trading Technologies UK (“DTT UK”) Ltd Elective Professional Agreement Form

First Name
 Surname
 Address Line 1
 Address Line 2
 Address Line 3
 Town
 County
 Post Code
 Country

Elective Professional Client Classification Qualitative Assessment

You have provided us with information that has enabled us to undertake an assessment of your expertise, experience and knowledge that gives us a reasonable assurance, in light of the nature of the transactions or services envisaged, that you are capable of making your own investment decisions and understanding the risks involved.

Quantitative Assessment

In addition to our qualitative assessment, please read the following criteria and tick the boxed to confirm which you meet:

- You have carried out transactions, in significant size, on the relevant market at an average of 10 per quarter over the previous four quarters.
- The size of your financial instrument portfolio, defined as including cash deposits and financial instruments, exceeds EUR 500,000.
- 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 meet at least 2 of the 3 criteria above, and we receive your signed agreement, we will classify you as a Professional Client. As a Professional Client different FCA Rules and protections are afforded to you. These changes, as well as changes in the operation of your account, are set out below.

If there are any changes to the information we hold about you or your current status, please let us know.

Summary of lost protections as a Professional Client

Where we treat you as a Professional Client, a number of FCA Rules will cease to apply to our relationship as follows:

1. Appropriateness

As a Professional Client, DTT UK Ltd are entitled to assume that you have the necessary level of experience and knowledge to understand the risks involved in relation to any investment, service, product or transaction.

If required to assess the suitability of a personal recommendation made to me, in relation to the products, transactions and services for which I am classified, DTT UK Ltd can assume that I have the necessary experience and knowledge to understand the risks involved and assume that I am able financially to bear any investment risks consistent with our investment objectives

2. Client Money

In line with exemptions granted to Professional Clients and Eligible Counterparties, you have the right to request that we do not treat money received from you or held by us on your behalf in accordance with Client Money rules. To do this please request our Title Transfer Collateral Arrangement form.

3. Disclosures & Communications

Communications addressed to a Professional Client may not need to include the same information, or be presented in the same way, as a communication addressed to a Retail Client.

DTT UK Ltd will not be required to provide me with the written risk warnings and notices, required for Retail Clients, in relation to transactions in complex financial instruments.

DTT UK Ltd will not be required to disclose in writing any charges, remuneration or commission or other income payable for conducting the regulated business.

The COBS rules relating to the confirmation of transactions will apply in a modified form. Provisions regarding extra reporting requirements for dealings with Retail Clients and provision of hard copies of confirmations not accessed electronically, will not apply.

4. Best Execution

When providing you with Best Execution DTT UK Ltd are not required to prioritise the overall costs of the transaction as being the most important factor in achieving Best Execution for me, nor do they have to consider their own commissions and costs relating to each of the eligible execution venues available, when assessing which to use in order to provide Best Execution.

5. Financial Ombudsman Scheme (FOS) and Financial Services Compensation Scheme (FSCS)

I will not be eligible to seek the services of the Financial Ombudsman Service (FOS) and may not be eligible for compensation under the Financial Services Compensation Scheme (FSCS).

Agreement

I confirm that for the purposes of my account(s) with DTT UK Ltd that I meet the requirements to be considered a Professional Client and wish to be treated as such.

I understand the loss of investor protections as a result of my classification as a Professional Client.

I also understand that I will lose the above protections afforded to Retail Clients under the FCA CASS rules and am aware of the consequences of losing such protections.

Signature

Full Name

Date