

Individual Application Form

(For joint applications each applicant should complete a separate form and the required additional documentation)

Section 1 – Personal

1.	Full Name (as on passport/national ID):	
2.	Nationality:	
3.	Passport Number/National ID Number/ CPR Number	
4.	Date of Birth:	/ /
5.	Residential Address:	
6.	Mailing Address (if different):	
7.	E-mail Address:	
8.	Telephone Number:	Home: Mobile: Work:
9.	Preferred Method of Contact:	<input type="checkbox"/> E-mail <input type="checkbox"/> Home <input type="checkbox"/> Mobile <input type="checkbox"/> Work
10.	Will any other person aside from you personally give us instructions regarding trading to be undertaken on your account, or will an agent act on your behalf?	<input type="radio"/> Yes <input type="radio"/> No If yes, please contact our Support Office for a Limited Power of Attorney form.

Section 2 – Employment

Please note: we will not contact your employer

11.	Employer's Name:	
12.	Employer's Principle Type of Business:	
13.	Position Held:	
14.	Years There:	
15.	Is your employer an FSA regulated firm?	<input type="radio"/> Yes <input type="radio"/> No

Section 3 – Financial

- 16. Bank Name:
- 17. Bank Address:
- 18. Name of Account Holder:
- 19. Account Number:
- 20. SWIFT/BIC/IBAN:

The following information is required in order to correctly establish your customer classification. The information provided will not alter the service you receive, restrict your trading opportunities or limit your potential losses. We will not divulge the information within this section to 3rd parties.

- 21. Approximate annual income (from all sources): \$/£/€
- 22. Approximate net worth (excluding private residence): \$/£/€
- 23. Approximate value of your Investment Portfolio: \$/£/€
- 24. Approximate value of funds available for trading: \$/£/€
- 25. Initial deposit size: \$/£/€

Section 4 – Previous Trading Experience

26. Please give a brief description of why you wish to open an account, with reference to any previous experience in investment products.

27. Which of the following have you traded in and for how long?
- | | | years/months |
|----------------------|--|---------------------|
| - Spot or Forward FX | <input type="radio"/> Yes <input type="radio"/> No | / |
| - Commodities | <input type="radio"/> Yes <input type="radio"/> No | / |
| - Options | <input type="radio"/> Yes <input type="radio"/> No | / |
| - Shares | <input type="radio"/> Yes <input type="radio"/> No | / |
| - CFDs | <input type="radio"/> Yes <input type="radio"/> No | / |

28. On average, how often in a month do you trade?
And what is the average trade size?

	Ave. Trades per Month	Ave. Deal Size (\$)
- Spot or Forward FX		
- Commodities		
- Options		
- Shares		
- CFDs		

29. Which companies have you dealt with? Was this on an execution only basis?

	Company Name(s)	Execution Only
- Spot or Forward FX		<input type="radio"/> Yes <input type="radio"/> No
- Commodities		<input type="radio"/> Yes <input type="radio"/> No
- Options		<input type="radio"/> Yes <input type="radio"/> No
- Shares		<input type="radio"/> Yes <input type="radio"/> No
- CFDs		<input type="radio"/> Yes <input type="radio"/> No

30. What are your investment objectives?
please tick one or both

<input type="checkbox"/> Speculation
<input type="checkbox"/> Hedge against other investments

31. When did you last trade? (mm/yy)

32. Please select a reporting currency for your account. \$/£/€

33. Do you have any current/former employment, professional experience/qualifications or training/education which would assist your understanding of our services? If yes, please describe. Yes No

Section 5 – Market Awareness

34. Do you understand the principles of margin trading and the risks involved in trading a leveraged financial product, in particular that you may lose more than your initial investment? Do you agree to accept these risks? Yes No

35. Are you aware that you must maintain a minimum level of margin in your account to cover any margin requirements? Yes No

36. Do you understand the concept of bid/offer? Yes No

37. Are you aware that you can short sell the market to benefit from down price trends? Yes No

38. Are you aware that you can place Stop Loss orders which can help to limit your losses? Yes No

CFD Knowledge

39. Do you understand there is no physical delivery of CFDs? Yes No
40. Do you understand what a limit and a stop is? Yes No
41. Do you understand that all CFDs are rolled over at the end of each day? Yes No
42. Are you aware that upon expiry of your CFD position you will be closed out at Abshire-Smith Global's settlement price? Yes No
43. Are you aware that upon expiry, any pending orders on CFDs will NOT be rolled over to the next future month? Yes No

FX Knowledge

44. Do you understand how currency pairs are quoted? Yes No
45. Are you aware that Abshire-Smith Global might quote FX in fixed contract sizes? Yes No
46. Are you aware that your positions will be rolled over at the end of each trading day? Yes No

Referral (if applicable)

47. How did you hear about Abshire-Smith Global?
48. If possible please include any further information

Declaration

Your trading system has both a stop-loss option and a forced stop loss option for when a client's margin level reaches a pre-determined "liquidation point" to ensure that if you use a large % (percentage) of your equity then some or all of the positions will be liquidated.

I confirm that I am over 18 and that the information represented here is true and accurate. I agree to inform you promptly in writing should any of the information contained here cease to be correct.

I have read, understood and accept in full the Customer Agreement that has been sent to me.

I am sure that CFD and FX trading is suitable for me and I have been advised of my ability to seek independent financial advice if necessary.

Risk Warning Notice – Spot Forex and CFD Trading

This notice ("Risk Warning Notice") is provided to you in compliance with the rules of the Financial Services Authority ("FSA").

This Risk Warning Notice cannot and does not disclose all the risks and other significant aspects of spot forex and cfd trading.

You should not engage in spot forex or cfd trading unless you understand the nature of spot forex and/or cfd trading, how they work, how you make a profit or a loss and the extent of your exposure to risk and loss. Note in particular that your losses can be unlimited and no deposit or other amount you have paid (such as Initial Margin (we also call this Margin) or Variation Margin) will limit your losses. You should be satisfied that spot forex and cfd trading is suitable for you in the light of your circumstances and financial position.

Although spot forex and cfd trading can be utilised for the management of investment risk, spot forex and cfd trading are unsuitable for many investors. If you are in any doubt seek professional advice.

General

When you engage in spot forex and cfd trading you are placing a trade in relation to movements of prices set by Abshire-Smith Global. Our prices relate to prices of the underlying. Our Execution Policy gives further details in relation to our prices. We can change our prices at any time, in particular having regard to changes in the underlying to which our prices relate.

Whether you make a profit or a loss depends on how our price has moved between when you opened your trade and when you closed your trade. Our terms and conditions clarify how you make a profit or a loss. Your trades with us will be subject to our terms and conditions. It is in your own best interests to read and understand them before you engage in spot forex and cfd trading with us.

Spot forex and cfd trading carries a high degree of risk. The "gearing" or "leverage" available in spot forex and cfd trading (i.e. the funds we require at the outset compared to the size of trade you can place) means that a small deposit (we call this Initial Margin or Margin) can lead to large losses as well as gains. It also means that a relatively small movement can lead to a proportionately much larger movement in the size of any loss or profit can work against you as well as for you.

Spot forex and cfd trades are subject to payment of Variation Margin. If the market moves against you, you may be called upon to pay substantial additional Variation Margin at short notice to maintain your Open positions. If you fail to do so within the time required, your Open positions may be closed at a loss and you will be responsible for all losses.

Your losses may be unlimited. You may lose all amounts you deposit with us such as Initial Margin (we also call this Margin) or Variation Margin. You have to pay us all losses you sustain as well as all other amounts payable under our terms and conditions such as interest and costs. If you decide to engage in spot forex and/or

cfddtrading, you must accept this degree of risk.

Spot forex and cfd trades can only be settled in cash.

As mentioned above, our prices relate to prices of the underlying; however, you do not acquire the underlying nor any rights or delivery obligations in relation to it.

Spot forex and cfd trades are not traded on or under the rules of a recognised or designated investment exchange.

Consequently, engaging in spot forex and cfd trading may expose you to substantially greater risks than investments which are so traded.

Spot forex and cfd trades are legally enforceable. This means that, for example, we can take legal action to recover money you owe us.

The potential for profit or loss from transactions on foreign markets or in foreign denominated contracts may be affected by fluctuations in foreign exchange rates.

Interest rates may affect whether you make a profit or a loss.

Markets

You can only engage in spot forex and/or cfd trading on the markets we make available; we can change those markets. Abshire-Smith Global Ltd is a company registered in England and Wales under company number 07894030. Abshire-Smith Global is Authorised and Regulated by the FSA under firm reference number [Insert FRN here upon authorisation].

Collateral

If you deposit collateral with us we will agree with you in writing how that collateral will be dealt with.

Charges

Our terms and conditions set out all charges you have to pay. Note also that charges may take the form of an additional spread.

Volatility

The markets we offer (and our prices) are derived from related underlying markets. We have no control over movements in the underlying markets; movements in the underlying markets may be volatile and unpredictable. Those movements will affect our prices, whether or not you can open and close a trade and the price at which you can do so.

Under certain trading conditions it may be difficult or impossible to close an open position. This may occur, for example, if the price of the underlying market rises or falls in one trading session to such an extent that under the rules of the relevant exchange trading is suspended or restricted.

Orders

For all pending orders, the price at which they may be executed is not guaranteed and so the extent to which they may limit your loss is not guaranteed; for example, movements in the underlying may make it impossible to execute your order at the agreed execution price.

Please also note that for all orders you may sustain the loss (which your order is intended to limit) in a short period of time.

Our terms and conditions explain how orders operate; it is in your own best interest to make sure you understand how orders operate before you place an order.

Compensation

We are covered by the Financial Services Compensation Scheme. If you are an eligible claimant, you may be

entitled to compensation from the scheme if we cannot meet our obligations. This depends on the trade concerned, the circumstances of the claim and the rules of the scheme. In general, eligible claimants are covered for 100% of the first £85,000. Further information about compensation arrangements is available from the Financial Services Compensation Scheme.

If there is anything you do not understand please contact our client services team.

Signature of applicant:

Date (Day/Month/Year):

We will rely solely on the information provided here in assessing your customer classification. It is therefore essential that if any of these details should change, you inform us of this in writing immediately so that we can reassess your classification.

Please post all documents to:

Account Opening

**Abshire-Smith Global Ltd
Communications House
26 York Street
London
W1U 6PZ**

For fast processing please scan/return the completed forms and supporting documentation by email to compliance@abshire-smith.com and info@abshire-smith.com.

Please note that if you send your application via email you still need to submit the original forms within 14 days by standard mail.

Individuals ID Requirements

This application form must be accompanied by one document from list A and one from list B

List A – Proof of Residential Address

1. An original or certified* copy of a recent (no more than 4 months old) utility bill stating your name and residential address;
2. An original or certified* copy of a recent (no more than 4 months old) bank statement stating your name and residential address.
3. A letter from the personal lawyer of the applicant confirming your residential address. The letter must be on lawyer's headed paper containing the lawyer's address, phone number(s), email address and his/her Bar/Association membership number. Please attach a copy of the lawyer's professional ID.

Please note: **Mobile telephone bills are not acceptable**

List B – Proof of Identity

1. A certified* copy of your valid passport, this must be in date to be a valid proof of ID;

* Certification may be carried out by Abshire-Smith employees, lawyer, Notary Public, Consulate or Embassy official. All copies must be clear and certification must be legible, dated and signed.