

PART 2 – DECLARATION OF INVESTMENT KNOWLEDGE AND TRADING EXPERIENCE (PROFESSIONAL CLIENTS)

The Dubai Financial Services Authority (‘DFSA’) requires all licensed firms offering brokerages in financial instruments to assess the knowledge and trading experience of its Professional Clients to determine their knowledge and experience prior to offering any investment products or related services. It may be noted that trading into certain exchanges and certain investment products particularly leveraged instruments carry a higher level of risk and are not suitable for all Investors. Hence, each investor is advised to assess the risk that the individual or entity is able to absorb losses emanating from its investments in financial instruments. The questions in this form are self-explanatory and must be completed with as much as information as is possible for you as the Client to provide. As a Client of the firm you are responsible for the correctness and completeness of the information. The questions are based on DFSA – Conduct of Business (COB) Rulebook - Rule 2.4.3 as amended from time to time. It must be noted that if the Client is an Undertaking (a legal entity as opposed to an individual), the declaration applies to the persons / individuals who are authorized to undertake transactions on behalf of the Undertaking. In case your account is a joint account the information needs to be provided for both joint account holders. Further, if your account is operated by a third party i.e. Investment Advisor or otherwise then as the account holder you are required to complete the form for such Authorized representative along-with a copy of the mandate provided to the Authorized representative.

#	Assessment Questions	Client Response
A.	State the education/qualification that you possess related to the trading in the Financial Markets/Financial Instruments. (We recommend that you attach a copy of your educational certificate)	<i>Please specify qualification/name of the educational institution/year of qualification attained.</i>
B.	Please state your Investment Knowledge and Trading experience and understanding of the risks of trading in financial instruments. <ul style="list-style-type: none"> • Very Limited (little knowledge, 1 year or less); • Basic knowledge and understanding of the risks (1-2 years); • Fair amount of knowledge, aware of different investment options and their associated risks (2-3 years); • Considerable knowledge and understanding to different investment philosophies and risks (3-5 years); • Extensive, Sophisticated & in-depth knowledge & understanding of investment products, risks and strategies (above 5 years) 	Tick as appropriate and provide notes to substantiate your experiences. <ul style="list-style-type: none"> <input type="checkbox"/> Less than 1 year; <input type="checkbox"/> Basic (1-2 years); <input type="checkbox"/> Fair (2-3 years); <input type="checkbox"/> Considerable (3-5 years); <input type="checkbox"/> Extensive (5 years and above).
C.	How many years trading experience do you have in relation to leveraged products and risky investments?	Tick as appropriate and provide notes to substantiate your experiences. <ul style="list-style-type: none"> <input type="checkbox"/> Less than 1 year; <input type="checkbox"/> Basic (1-2 years); <input type="checkbox"/> Fair (2-3 years);

		<input type="checkbox"/> Considerable (3-5 years); <input type="checkbox"/> Extensive (5 years and above).																		
D.	<p>What is your frequency of trading including leveraged products over the past 12 months?</p> <ul style="list-style-type: none"> • Regular (trades every week) • Moderate (trade 10 transactions in a month) Irregular (trades 10 transactions in a quarter) • Unlikely - No particular trading frequency. 	<p>Tick as appropriate and provide notes to substantiate your experiences.</p> <input type="checkbox"/> Regular <input type="checkbox"/> Moderate <input type="checkbox"/> Irregular <input type="checkbox"/> Unlikely																		
E.	<p>Stock exchange / markets in which trades are executed</p> <ul style="list-style-type: none"> • Local (UAE) • Regional (GCC and MENA) • International 																			
F.	<p>Please state to what extent you rely on financial advice from a financial institution?</p> <ul style="list-style-type: none"> • Moderately • Extensively • Non (own research) <p>** We reiterate that GTN Middle East Financial Services (DIFC) Limited does not provide Advise on trading into financial instruments.</p>																			
G.	<p>Please state the size (volumes/value) and nature of transactions that have been undertaken by you, or on your behalf, in financial markets and different financial instruments. You may use the below as an indicator:</p> <ul style="list-style-type: none"> • Value USD 1,000,000 + (last 12 months) • Value USD 500,000 to 999,999 (last 12 months) • Value USD 250,000 to 499,999 (last 12 months) and • Less than USD 250,000 (last 12 months) 																			
H.	<p>Please state the composition and size of your existing financial instruments investment portfolio in (USD):</p>	<table border="1"> <thead> <tr> <th>Composition</th> <th>Size (USD approx.)</th> </tr> </thead> <tbody> <tr> <td>Equity</td> <td></td> </tr> <tr> <td>Futures</td> <td></td> </tr> <tr> <td>Options</td> <td></td> </tr> <tr> <td>CFD's and FX</td> <td></td> </tr> <tr> <td>Debentures</td> <td></td> </tr> <tr> <td>Bonds</td> <td></td> </tr> <tr> <td>Certificates/Warrants</td> <td></td> </tr> <tr> <td><< Add as appropriate>></td> <td></td> </tr> </tbody> </table>	Composition	Size (USD approx.)	Equity		Futures		Options		CFD's and FX		Debentures		Bonds		Certificates/Warrants		<< Add as appropriate>>	
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I.	Please state your investment strategy:	Tick as appropriate and substantiate with notes: <input type="checkbox"/> Day Trade <input type="checkbox"/> Short-Term <input type="checkbox"/> Long-Term <input type="checkbox"/> Others, please specify below
J.	Please state volume and number of transactions to be conducted across your investment account/s with GTN Middle East Financial Services (DIFC) Limited (suggest please use the indicative values in the next column);	Tick as appropriate (indicative trades numbers can be amended if needed) <input type="checkbox"/> Low Volume (less than 5 trades a week); <input type="checkbox"/> Average Volume (5 – 25 trades a week); <input type="checkbox"/> High Volume (more than 25 trades a week) <input type="checkbox"/> Depends on Market opportunities <input type="checkbox"/> Any Others (please specify)
K.	Please specify your investment objectives	Tick as appropriate: <input type="checkbox"/> Aggressive Growth <input type="checkbox"/> Growth <input type="checkbox"/> Capital Appreciation <input type="checkbox"/> Value Investor <input type="checkbox"/> Regular Income
L.	Please indicate which of the investment products listed in the corresponding column you have knowledge of and experience:	Tick as appropriate: <input type="checkbox"/> Equities <input type="checkbox"/> Hedge Funds <input type="checkbox"/> Bonds <input type="checkbox"/> Futures <input type="checkbox"/> Options/Commodities <input type="checkbox"/> Unit Trusts <input type="checkbox"/> Mutual Funds <input type="checkbox"/> Deposits <input type="checkbox"/> Real Estate Investment <input type="checkbox"/> Foreign Exchange <input type="checkbox"/> Foreign Exchange <input type="checkbox"/> Others
M.	What is the overall time horizon that you have in mind for your investment account with GTN Middle East Financial Services (DIFC) Limited?	Tick as appropriate: <input type="checkbox"/> Short Term <input type="checkbox"/> Medium Term <input type="checkbox"/> Long Term <input type="checkbox"/> No definable time horizon
N.	Risk Tolerance:	Tick as appropriate (in case you have risk tolerance in value terms the \$ values may be indicated): <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> Speculative

O.	Are you a policymaker, shareholder or partner of a publicly held company? If yes please comment as appropriate (company name, address, website):	
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Accuracy of Information:

I hereby certify that the information provided herein are accurate and I undertake to provide you with any change that could affect directly or indirectly my current declaration. I hereby declare that the information provided herein cancel and supersede any information I may have previously provided to GTN Middle East Financial Services (DIFC) Limited virtue of any signed agreement and/or document and/or form.

Signature:

Name:

Date: