

## Self-Certified Net-Worth Declaration for Professional Clients

### PART 1 – DECLARATION:

Client Name/s: .....

ID/ Passport Number/s: .....

I/we the undersigned would like to seek brokerage services from GTN Middle East Financial Services (DIFC) Limited ('GTN ME') and in this context acknowledge and understand that GTN ME as per its license provides brokerage services to Professional Clients only.

I/we hereby represent upon my entire responsibility, that I meet the definition of an "Assessed Professional Client" as defined in Chapter 2.3.7 of the Conduct of Business Module (COB) of the Dubai Financial Services Authority ("DFSA") Rulebook as quoted below for reference and that I agree to be treated as a Professional Client as declared.

"(1) For the purposes of Rule 2.3.3(1)(a)(iii), an individual is an 'assessed' Professional Client if:

(a) the individual has net assets of at least \$1 million calculated in accordance with Rule 2.4.2; and

(b) either:

(i) the individual is, or has been, in the previous two years, an Employee in a relevant professional position of an Authorized Firm or a Regulated Financial Institution; or

(ii) the individual appears, on reasonable grounds, to have sufficient experience and understanding of relevant financial markets, products or transactions and any associated risks, following the analysis set out in Rule 2.4.3."

Furthermore, I/we confirm that, by making this declaration and giving this consent, I/we will not be afforded the retail customer protections and compensations rights that may generally be available to me with DFSA or any other jurisdictions.

I/we further hereby declare and undertake to provide GTN ME in writing at my earliest with any change or any modification affecting directly or indirectly my current classification. I/we further confirm the below:

#	Description/Question	Yes	No
a.	I/we confirm that the particulars and information provided to GTN ME in this Agreement are accurate, correct, true and complete as at the date hereto?	<input type="checkbox"/>	<input type="checkbox"/>
b.	I/we understand that it's depend on GTN ME in making its decision, subject to the particulars and information provided, as to whether I/we meet Professional Client requirements?	<input type="checkbox"/>	<input type="checkbox"/>
c.	I/we undertake to advise GTN ME in writing at any time of any changes in any of the particulars or information provided?	<input type="checkbox"/>	<input type="checkbox"/>
d.	I/we authorize GTN ME to contact any source of information, or any person or entity nominated herein as a reference to verify the accuracy and correctness of the particulars and information provided?	<input type="checkbox"/>	<input type="checkbox"/>
e.	I/we confirm that, in providing this information to GTN ME and seeking financial services from GTN ME pursuant to this agreement, I/we am the beneficial owner of the account and acting as principal and not as agent of any third party?	<input type="checkbox"/>	<input type="checkbox"/>
f.	I/we have read and understood the GTN Middle East Trading Services Customer Agreement (for professional non institutional clients) and agree to the same?	<input type="checkbox"/>	<input type="checkbox"/>
g.	I/we understand that GTN ME does NOT provide any advice in relation to any Investments?	<input type="checkbox"/>	<input type="checkbox"/>

#	Description/Question	Yes	No
h.	I/we are comfortable with the level or risk am/we are taking with my/our investments and our ability to bear losses emanating from the Investment?	<input type="checkbox"/>	<input type="checkbox"/>

**PART 2 – DECLARATION OF PERSONAL ASSETS AND LIABILITIES**

(In case of joint account, the part 2 must be completed by each account holder in a separate sheet)

Assets* (as of .... /...../.....)	Liabilities (as of .... /...../.....)
Bank Balance \$ .....	Loan 1 \$ .....
Shares \$ .....	Loan 2 \$ .....
Savings \$ .....	Loan 3 \$ .....
Property 1 \$ .....	Mortgage 1 \$ .....
Property 2 \$ .....	Mortgage 2 \$ .....
Other Assets \$ .....	Other liabilities \$ .....
Total \$ .....	Total \$ .....
Total Net Worth (Assets - Liabilities) \$ .....	

(Please Include Additional Sheets as needed)

I am a certified high net worth individual because:

I held, throughout the financial year immediately preceding the date below, net assets to the value of \$1,000,000 or more as detailed above,

\* Assets for these purposes do not include:

- (i) the property which is my primary residence or any loan secured on that residence;
- (ii) any rights of mine under a qualified contract of insurance;
- (iii) any benefits (in the form of pensions or otherwise) which are payable on the termination of my service or on my death or retirement and to which I am (or my dependents are), or may be, entitled.

I confirm to provide documentary evidence to prove/ validate the above-mentioned Wealth/ Net-worth at the time of opening of the trading account with GTN ME and if requested later at any point of time.

I agree that I can lose my property and other assets from making investment decisions. I am aware that it is open to me to seek advice from someone who specializes in advising on my investments.

Signature: ..... Name: .....

Date: .....