

## **Customer/Counterparty Questionnaire**

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## **Introduction**

Dear Customer/Counterparty,

As part of Dragon Capital (Cyprus) Limited Know Your Client (KYC) procedure, prior to your account being opened with us/ performing annual update, we kindly request this questionnaire be completed.

- Section A: This questionnaire requires completion by all customers/counterparties
- Section B: Additional documents required for regulated entity
- Section C: Additional documents required for non-regulated customers
- Section D: The investment profile is to be completed

## Section A – General Information

General Information			
Full Legal Name			
Registered Address			
LEI (Legal Entity Identifier)			
City / Post Code / Country			
Is your company regulated?	<input type="checkbox"/> Yes <input type="checkbox"/> No <i>(if yes, please provide evidence)</i>		
Name of Regulator			
		Primary Exchange:	
		Ticker:	
	<input type="checkbox"/> Agency Basis		
	<input type="checkbox"/> Proprietary Activity		
	<input type="checkbox"/> Custody		
	<input type="checkbox"/> Execution Only		
State whether any directors, beneficiaries, authorized persons and/or any close family members/persons known to be associated with them are /were politically exposed person <sup>i</sup>	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes state the details (name, position, duration)		
Please, indicate the source of funds / wealth	<input type="checkbox"/> Owner of business (please, specify) <input type="checkbox"/> Salary earnings <input type="checkbox"/> Investments <input type="checkbox"/> Inheritance <input type="checkbox"/> Other (please, specify)		
Further description of source of funds / wealth	<i>(e.g. For trusts, how did settler accumulate wealth? For inheritance, how did family accumulate wealth? For business owners, the business profile (securities transactions, real estate, etc), how long in business, how many employees, level of profitability)</i>		
Please, indicate size of wealth (EUR)			
Compliance & Anti-Money Laundering			
Does your company have an Anti-Money Laundering compliance programme?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Are you required by law/regulation to maintain such a programme?	<input type="checkbox"/> Yes <input type="checkbox"/> No		

Does your company have written AML policies and procedures?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Has your Board of Directors or senior management approved your AML compliance programme?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Does your company have a designated AML Compliance Officer responsible for overseeing its AML programme?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Name:		Position/Title:	
Telephone Number:		Email Address:	
Does your company have a policy prohibiting accounts or relationships with banks that do not have a physical presence in any country, for example "Shell Banks"?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Does your company have a policy regarding record retention, in accordance with applicable laws?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Does your company have written procedures providing for identification of suspicious activities and the reporting of such activity to the relevant authorities?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Does your company have policies and procedures to obtain and verify, as applicable information about ultimate beneficial ownership of your clients?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Does your company have a requirement to collect information regarding your clients business activities?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Does your company provide AML training to it staff?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Does your company have policies regarding relationships with Politically Exposed Persons (PEPs)		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Does your company take steps to understand the normal and expected transaction activity of it's clients?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Does your company regularly screen customers and transactions against lists of persons, entities or countries subject to sanctions?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
If "yes", which lists do you use?			
<b>If company is not regulated, please provide the full name, address and nationality of any owner with either 10% or more shareholding in your company</b>			
Name	Address	Nationality	Percentage Ownership
Please, indicate the source of funds / wealth (ref. to ultimate beneficiary owner)	<input type="checkbox"/> Owner of business (please, specify) <input type="checkbox"/> Salary earnings <input type="checkbox"/> Investments <input type="checkbox"/> Inheritance		

	<input type="checkbox"/> Other (please, specify)		
Further description of source of funds / wealth (ref. to ultimate beneficiary owner)	<i>(e.g. For trusts, how did settler accumulate wealth? For inheritance, how did family accumulate wealth? For business owners, the business profile (securities transactions, real estate, etc), how long in business, how many employees, level of profitability)</i>		
Please, indicate size of wealth (ref.to ultimate beneficiary owner)			
Annual income of the ultimate beneficiary owner (approximately)	<input type="checkbox"/> EUR20,000 - EUR50,000 <input type="checkbox"/> EUR50,000 - EUR100,000 <input type="checkbox"/> EUR100,000 - EUR500,000 <input type="checkbox"/> > EUR500,000		
Is your company a wholly owned subsidiary of another entity/financial institution?			<input type="checkbox"/> Yes <input type="checkbox"/> No
<b><i>If "yes" please provide answers to the questions below regarding the parent company</i></b>			
Parent Company Name:			
Parent Registered Business Address:			
City/Post Code/Country			
Jurisdiction of Parent Incorporation:			
Name of Parent's Regulator:			
		Primary Exchange:	
		Ticker:	
<b>Title:</b>	<b>Name:</b>	<b>Date:</b>	<b>Signature:</b>

## Section B – Additional Documents for Regulated Entity

Regulated Entity	
Document	Additional Info
Evidence of Regulation	url to home state regulator
Authorised Signature List	Copy
Standard Settlement Instructions	Copy
Audited Financial Statements	Copy
Contact details for email/telephone for back office	Copy
Fax No/Email where trade confirms be sent	
Contact details of the authorised persons/ traders	Copy

### Section C - Additional Document for Unregulated Entity

<b>Unregulated Entity</b>	
<b>Document</b>	<b>Additional Info</b>
Memorandum & Articles of Association of Incorporation	Notarized, or Apolstilled or Certified as True Copy
Certificate of Incorporation	Notarized, or Apolstilled or Certified as True Copy
Certificate of Registered Address	Notarized, or Apolstilled or Certified as True Copy
Certificate of Directors	Notarized, or Apolstilled or Certified as True Copy
Copy of Passport/s of company directors	Notarized, or Apolstilled or Certified as True Copy
Copy of Utility Bill, Local Authority Tax Bill of company directors (not older than 6 months)	Notarized, or Apolstilled or Certified as True Copy
Certificate of Shareholders	Notarized, or Apolstilled or Certified as True Copy
Ownership Structure on ultimate beneficiary if any shareholding is equal or greater than 10%	Notarized, or Apolstilled or Certified as True Copy
For shareholding equal or greater than 10%, either copy of passports (for individuals) and confirmation of address or certificate of incorporation (for legal entities)	Notarized, or Apolstilled or Certified as True Copy
Authorized Signature List	Copy
Audited Financial Statements if applicable	Copy
Board Resolution confirming the opening of account with Dragon Capital (Cyprus) Ltd	Copy
Third party reference letter, applicable to entities registered in: i) BVI, ii) Bahamas, iii) Bermuda, iv) Cayman Islands, v) Gibraltar or, vi) Seychelles	Original * see below
Standard Settlement Instructions/Bank account details	Copy
Contact details for email/telephone for back office	Copy
Fax No/Email where trade confirms be sent	
Contact details of the authorised persons/ traders	Copy

\*suggested text

***(On provider's letter head)***

Dragon Capital (Cyprus) Limited  
16 June 1943 Street  
Building 9, office 202  
Limassol, 3022, Cyprus

Re: "*name of the company*"

In connection with the opening of an account with your organization we hereby confirm that:

- A. "**X bank**"/ "**X accounting firm**"/ "**X legal firm**", a company incorporated under the laws of (**country**) is **authorised / regulated / licensed** by..... and has implemented it's anti-money laundering programme in accordance with the Law on Professional Due Diligence in Financial Transactions
- B. "**Name of the referrer**" has appropriate, specific and where necessary enhanced due diligence policies and procedures designed to detect and report instances of money laundering through private banking or correspondent accounts
- C. We confirm that we know Mr..... as beneficial owner of "**name of company**"
- D. A full KYC diligence has been conducted on Mr..... by our company and we a satisfactory relationship with "**name of company**"

Name:

Signature:

Position

Date:

**Section D – Investment Profile**

Investment Profile			
Total annual income (EUR)			
Anticipated annualized amount to be invested (EUR)			
Please indicate number of trades during past 12 months (frequency)			
<input type="checkbox"/> 0-3 per month (One off)	<input type="checkbox"/> 3-10 per month (Occasional)	<input type="checkbox"/> 10-50 per month (Regular)	<input type="checkbox"/> more than 50 per month
Please indicate number of future trades (frequency)			
<input type="checkbox"/> 0-3 per month (One off)	<input type="checkbox"/> 3-10 per month (Occasional)	<input type="checkbox"/> 10-50 per month (Regular)	<input type="checkbox"/> more than 50 per month
Please indicate size of financial instrument portfolio, including cash deposits and financial instruments, '000 EUR			
<input type="checkbox"/> 0-10	<input type="checkbox"/> 10<X<100	<input type="checkbox"/> 100<X<500	<input type="checkbox"/> 500<X
Please indicate type of investments			
<input type="checkbox"/> Long Term	<input type="checkbox"/> Short Term	<input type="checkbox"/> Capital Gains	
Please indicate trading style /strategies used			
<input type="checkbox"/> Never utilized any <input type="checkbox"/> Buy and hold <input type="checkbox"/> Speculative trading (plain vanilla instruments, derivatives –futures, CFDs) <input type="checkbox"/> Complex strategies involving derivatives (hedging, arbitrage, option positions)			
Risk Tolerance			
<input type="checkbox"/> Don't know			
<input type="checkbox"/> Minor volatility ( <i>up to 10%p.a. while stronger fluctuations are possible</i> )			
<input type="checkbox"/> Medium volatility ( <i>greater than 10%p.a. while stronger fluctuations are possible</i> )			
<input type="checkbox"/> Speculative investments which may result in complete loss of capital and or additional requirement of funds			
Knowledge & Experience (inc. directors, managers, authorized persons)			
Financial Instruments	Experience (years)	Vol. Monthly Transactions (EUR) /Quantity	Average Annual Volume (EUR) /Quantity
Nothing			
Stocks			
Bonds			



Collective investment units			
Futures - Indices			
Futures/CFDs - Stocks			
Currency CFDs			
Options			
Futures Commodities			
<b>Financial instruments requested for trading</b>			
<input type="checkbox"/> Stocks <input type="checkbox"/> Bonds <input type="checkbox"/> Collective investment units <input type="checkbox"/> Futures – Indices <input type="checkbox"/> Futures/CFDs – Stocks <input type="checkbox"/> Currency CFDs <input type="checkbox"/> Options <input type="checkbox"/> Futures Commodities			
<b>Declarations</b>			
<input type="checkbox"/> We do not want to receive any investment advice and we do not want to receive any advice beyond the legally prescribed minimum		<input type="checkbox"/> Yes <input type="checkbox"/> No	
<input type="checkbox"/> We will give instructions concerning investments via electronic mediums or telephone, and as such do not require to receive investment advice pursuant to a separate agreement		<input type="checkbox"/> Yes <input type="checkbox"/> No	
<input type="checkbox"/> We are fully aware and understand the risks connected with financial services/products we intend to work with		<input type="checkbox"/> Yes <input type="checkbox"/> No	
<input type="checkbox"/> We state that we shall be treated as a Professional client in respect of all /some services/products we will work with (please specify)		<input type="checkbox"/> Yes <input type="checkbox"/> No	
<input type="checkbox"/> We receive a warning of the protections and investor compensation rights we can lose and we are fully aware of the consequences of losing such protection		<input type="checkbox"/> Yes <input type="checkbox"/> No	
<input type="checkbox"/> We understand the nature of margin trading and we are fully aware of risks associated with it and confirm that we are able to bear financial consequences in line with our investment objectives		<input type="checkbox"/> Yes <input type="checkbox"/> No	
<input type="checkbox"/> Unless we notify Dragon Capital (Cyprus) Limited in writing it is assumed that there are no restrictions on the type of transaction Dragon Capital (Cyprus) Limited recommends to us or enter into with Dragon Capital (Cyprus) Limited or the markets upon which transactions may be effected		<input type="checkbox"/> Yes <input type="checkbox"/> No	
<input type="checkbox"/> I give my express consent to Dragon Capital (Cyprus) Limited to use my personal data (name, contact details, etc) for its own purposes including but not limited to keeping, processing and transferring to third parties as required by current legislation in connection with information and marketing communication relating to products, services and events		<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Signature:</b>		<b>Date:</b>	
<b>Print Name:</b>		<b>Position/Title:</b>	

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<sup>i</sup> “politically exposed persons” means the natural persons who are or have been entrusted with prominent public functions in the Republic of Cyprus or any other country and their immediate family members or persons known to be close associates of such persons.