

Individual Customer Account Opening Pack

Contents

Introduction	2
Section A – Questionnaire	3
Section B – Documents required for Individuals	5

Introduction

Dear Customer,

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

- Section A: This questionnaire requires completion by all customers
- Section B: Documents required for individuals

Section A – Questionnaire

General Information	
Name (Middle name)	
Surname	
Date and place of birth	
Nationality/Citizenship (state all if more than one)	
State whether you and/or any close family members/persons known to be associated with you are politically exposed person ⁱ	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes state the details
Passport/ID	
Residential address	
Major occupation	
Name of employer (if employed)	
Industry/Sector of occupation	
Annual income	
Tax payer country (list all)	
Tax payer ID	
If you are a US citizen or resident	<input type="checkbox"/> US citizen <input type="checkbox"/> Green card holder <input type="checkbox"/> Reside in the USA for over 183 days
Mail address	
Telephone/fax number	
Bank account details	
Investment knowledge and experience	
Do you have Financial sector/Investment activity experience in the past?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If applicable, please indicate educational background relating to financial markets/investments	
Length of experience	<input type="checkbox"/> Options, Futures, SWAPS <input type="checkbox"/> up to 1 year <input type="checkbox"/> more than 1 year <input type="checkbox"/> Foreign exchange <input type="checkbox"/> up to 1 year <input type="checkbox"/> more than 1 year <input type="checkbox"/> Equities <input type="checkbox"/> up to 1 year <input type="checkbox"/> more than 1 year <input type="checkbox"/> Fixed income <input type="checkbox"/> up to 1 year <input type="checkbox"/> more than 1 year

Number of trades in the past 12 month (per each quarter)	
Please indicate if the size of your portfolio, including cash deposits exceeds €500,000	<input type="checkbox"/> Yes <input type="checkbox"/> No
Source of wealth	
Describe your principal business activity/ investment expectations	
Investment objectives	
Anticipated annualized amount to be invested (EUR)	
Planned initial fundings to be placed to support your business activity	
Please confirm that you are the actual owner of money/financial instruments to be placed on your account	<input type="checkbox"/> Yes <input type="checkbox"/> No
Please indicate type of investments	<input type="checkbox"/> Long Term <input type="checkbox"/> Short Term <input type="checkbox"/> Capital Gains
Frequency of transactions	<input type="checkbox"/> Regular <input type="checkbox"/> Occasional <input type="checkbox"/> One Off
Please indicate type of financial instruments you intend to work with	<input type="checkbox"/> Non-complex (equities, bonds) <input type="checkbox"/> Complex (Options, Futures, SWAPS, Derivatives, etc)
Risk tolerance	<input type="checkbox"/> Minor volatility (up to 10%p.a. while stronger fluctuations are possible) <input type="checkbox"/> Medium volatility (greater than 10%p.a. while stronger fluctuations are possible) <input type="checkbox"/> Speculative investments which may result in complete loss of capital and or additional requirement of funds <input type="checkbox"/> Extreme high risk investments which may result in complete loss of capital and the requirement of additional funds
Please indicate the financial services you intend to use	<input type="checkbox"/> Custody <input type="checkbox"/> Execution only <input type="checkbox"/> Execution and custody
Do you understand the nature and risk of margining trading?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Are you able financially to bear the risk of margining trading in line with your investment objectives?	<input type="checkbox"/> Yes <input type="checkbox"/> No

Declarations

- I do not want to receive any investment advice
- I do not want to receive any advice beyond the legally prescribed minimum
- I will give instructions concerning my investments via electronic mediums or telephone, and as such do not require to receive investment advice pursuant to a separate agreement
- I am fully aware and understand the risks connected with financial services/products I intend to work with
- I take a low risk investments, but in case I have a high risk expectations I will accept appropriate higher/high level of risk
- I understand the nature of margin trading and I am fully aware of risks associated with it and confirm that I am able to bear financial consequences in line with my investment objectives
- Unless I 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 me or enter into with Dragon Capital (Cyprus) Limited or the markets upon which transactions may be effected
- 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.

Signature:		Date:	
Print Name:		Position/Title:	

Section B – Documents required for Individuals

Individuals	
Document	Additional Info
Passport and/or identity card, showing date and place of issue, date of birth, passport number, signature, etc	Certified true copy
Utility bill verifying residential address (not older than 6 months)	Certified true copy
Bank account details (certificate)	Copy
A bank reference letter (if applicable)	Copy
Source of wealth confirmation if applicable	Copy

(custody account balance/bank deposits/salary certificate)	
Power of attorney (if applicable)	Certified true copy
Completed questionnaire	Copy

ⁱ “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.