

Account Opening Agreement

PART A- Legal & Contractual Framework

1. Introduction

EXENICO (CY) Ltd (formerly Grandis Securities Ltd) (hereinafter the “**Company**”), is incorporated under the Laws of the Republic of Cyprus with registration number HE 360960. The Company is authorised and regulated by the Cyprus Securities and Exchange Commission (“**CySEC**”) to operate as a Cypriot Investment Firm (“**CIF**”) under the Law, with CIF Licence No. 343/17.

This Account Opening Agreement (the “**Agreement**”) sets out the terms and conditions for the provision of investment and ancillary services by the Company to the Client under the Investment Services and Activities and Regulated Markets Law of 2017 (Law 87(I)/2017), as amended (the “**Law**”). The Law 144(I)/2007 shall continue to apply to the extent it remains applicable following the implementation of MiFID II.

2. Client Acceptance Policy

The Company shall only provide investment services to Professional Clients and Eligible Counterparties, as defined under MiFID II and the Law, as amended. The Company does not provide services to Retail Clients.

The Company is under no obligation to accept any prospective client as its Client and reserves the right to refuse a business relationship if it reasonably believes that the prospective client may pose a regulatory, reputational, financial, or other risk, or if acceptance would be contrary to this Policy. The Company is not required to provide justification for rejecting an application.

Prospective Clients must complete and submit this Agreement and provide all required identification, corporate, and financial documentation. The Company will confirm acceptance of a Client once:

- All requested documentation has been provided in full;
- All required checks (including AML/CFT due diligence, beneficial ownership verification, and appropriateness/suitability assessment, where applicable) have been completed satisfactorily; and
- Internal approval has been granted in line with Company procedures.

Until such confirmation is provided, the prospective client shall not be considered a Client of the Company, and no account will be activated nor funds accepted.

All Clients must meet the criteria to be classified as either a Professional Client or an Eligible Counterparty. Client categorisation will be performed in accordance with MiFID II requirements and documented in the client file.

The Company may request additional documentation or information from a Client at any time during the course of the business relationship. Failure to provide such information may result in suspension of services or termination of the relationship.

Any application which remains incomplete or unapproved for more than three (3) months may be closed at the Company's discretion.

3. Scope of the Agreement

By accepting this Agreement, the Client enters into a legal and binding agreement with the Company. This Agreement sets out the terms under which the Company will provide investment and ancillary services, as well as the rights and obligations of both Parties.

The Company is authorised and regulated by CySEC to provide the following services:

Investment Services:

- Reception and transmission of orders in relation to one or more financial instruments;
- Execution of orders on behalf of clients.

Ancillary Services:

- Safekeeping and administration of financial instruments, including custodianship and related services;
- Foreign exchange services where these are connected to the provision of investment services.

The Company provides trading in Contracts for Difference (CFDs) on foreign exchange, indices, metals, commodities, and bonds exclusively to Professional Clients and Eligible Counterparties. The Company does not provide services to Retail Clients.

The Company operates on a Straight-Through Processing (STP) execution-only model, does not deal on own account, and does not offer CFDs on crypto-assets.

The Client acknowledges and accepts that the Company may, at its discretion, offer services only to clients that meet the categorisation requirements and only in accordance with its CIF license, applicable laws, and regulations.

4. Commencement of the Agreement

This Agreement shall take effect upon the Client's acceptance and signature (where applicable) and the confirmation by the Company of the Client's categorization as a Professional Client or Eligible Counterparty and approval of the Client's application to open a trading account. No services shall be provided, and no transactions shall be executed until such confirmation is issued by the Company.

5. Capacity

The Client acknowledges and agrees that they are entering into this Agreement in their own capacity as principal and not as agent, trustee, or representative of any third party. The Client shall be directly and fully responsible for the performance of all obligations arising under this Agreement.

The Company shall not accept any person other than the Client as a party to this Agreement, nor shall it accept any obligation or liability towards third parties, unless expressly agreed in writing and in accordance with applicable laws and regulations.

6. Core Terms

6.1. Clients Funds

The Company shall promptly place any Client funds received into one or more segregated accounts with an EU credit institution or other authorised bank. Client funds shall be fully segregated from the Company's own funds and handled in accordance with the Law and CySEC requirements. The Company does not use Client funds for hedging, margining, or any proprietary trading activity.

6.2. Communications

All communications, instructions, and notices between the Company and the Client shall be made in writing or through electronic means (including email, client portal, or other secure digital channels) as agreed. The Client agrees that electronic communication constitutes valid written communication.

6.3. Inducements

The Company may pay or receive fees, commissions, or non-monetary benefits to/from third parties, only where such arrangements are permitted under MiFID II, enhance the quality of services provided to the Client, and do not impair compliance with the Company's duty to act in the best interest of the Client. Full details will be disclosed to the Client upon request.

6.4. Assurances and Guarantees

The Company does not provide any guarantees of return on investments, nor assurances against losses. Trading in CFDs is speculative, and the Client accepts that all investment decisions are their sole responsibility.

6.5. Indemnity and Limited Liability

The Client shall indemnify and hold harmless the Company against all losses, damages, costs, and expenses incurred as a result of the Client's breach of this Agreement or provision of false/misleading information.

The Company shall not be liable for indirect, consequential, or special damages, or for losses arising from market movements, connectivity issues, or third-party failures, except where resulting from fraud, wilful default, or gross negligence of the Company.

6.6. Acknowledgements

The Client acknowledges that they:

- Have read and understood this Agreement, including the Risk Disclosure Notice;
- Are aware of the risks involved in leveraged trading in CFDs;
- Are classified as a Professional Client or Eligible Counterparty under MiFID II and accept the reduced level of investor protection that accompanies such classification.

6.6. Risks

The Client understands and accepts that CFD trading involves a high risk of loss, including the potential loss of the entire invested capital. Leverage may amplify gains but also magnifies losses. Past performance is not a guarantee of future results.

6.7. Representation and Warranties

The Client represents and warrants that:

- They have full legal capacity, authority, and power to enter into this Agreement;
- All information provided to the Company during onboarding and throughout the business relationship is true, accurate, and complete;
- They are acting as principal and not as agent, trustee, or representative of any third party;
- They are duly classified as a Professional Client or Eligible Counterparty in accordance with MiFID II and the Law.

6.8. Miscellaneous Provisions

If any provision of this Agreement is found to be invalid, illegal, or unenforceable, the remaining provisions shall remain in full force and effect.

Headings are for reference purposes only and shall not affect the interpretation of this Agreement.

6.9. Force Majeure Event

The Company shall not be liable for any failure or delay in performing its obligations where such failure or delay arises from events beyond its reasonable control, including but not limited to natural disasters, war, acts of terrorism, strikes, industrial disputes, power failures, technology or communication system failures, regulatory or governmental actions, or market disruptions.

6.10. Term

This Agreement shall enter into force upon acceptance and signature by both Parties and shall remain valid until terminated in accordance with the provisions of this Agreement.

6.11. Termination

6.11.1 Termination by Notice

Either Party may terminate this Agreement by giving written notice of at least thirty (30) calendar days to the other Party.

6.11.2 Immediate Termination by the Company

The Company may terminate this Agreement with immediate effect if:

- The Client breaches any provision of this Agreement;
- The Client becomes insolvent, bankrupt, or unable to meet their obligations;
- Termination is required by applicable law, regulation, or regulatory authority.

6.11.3 Effect of Termination

Termination shall not affect any accrued rights, obligations, or liabilities of either Party arising prior to the termination date.

6.12. Amendments

The Company may amend this Agreement, its Terms and Conditions, or its policies at any time by providing notice to the Client. Continued use of the Company's services following such notification shall constitute acceptance of the amendments.

6.13. Information Disclosure

The Client consents to the Company disclosing information to regulatory authorities, service providers, liquidity providers, or other counterparties as required by law or deemed necessary for the provision of services. All disclosures shall comply with applicable data protection legislation.

The Client acknowledges that certain derivative transactions entered into with the Company may fall under the scope of the European Market Infrastructure Regulation (Regulation (EU) No 648/2012 – "EMIR"), as amended. Where EMIR obligations apply, the Client remains solely responsible for compliance with all applicable requirements, including but not limited to reporting to a registered trade repository, clearing (if applicable), and application of risk mitigation techniques.

The Company may, at its sole discretion, facilitate EMIR compliance for the Client through delegated reporting or other arrangements. In such cases:

- The Company may transmit information regarding the Client's transactions to a trade repository and/or competent authority;
- The Client remains responsible for the accuracy and completeness of all information provided to the Company;
- The Company shall not be liable for any failure by the Client to meet its EMIR obligations.

The Client further acknowledges and agrees that the Company may disclose transaction details, personal data, or other information as required under EMIR, MiFIR transaction reporting, or other applicable EU/Cyprus legislation.

6.14. Tax Information

The Client is solely responsible for all tax reporting, payment, and compliance obligations in their jurisdiction. The Company does not provide tax advice and shall not be liable for any tax obligations of the Client.

6.15. Governing Language

This Agreement and its Appendices are drafted in the English language, which shall be the sole governing language for interpretation and enforcement.

6.16. Governing Law and Jurisdiction

This Agreement shall be governed by and construed in accordance with the laws of the Republic of Cyprus. Any dispute arising out of or in connection with this Agreement shall fall within the exclusive jurisdiction of the courts of Cyprus.

6.17. Acceptance of Legal Documents

By signing this Agreement, the Client acknowledges and accepts all legal documents, policies, and disclosures made available on the Company's official website (including Terms of Business, Client Categorisation Policy, Risk Disclosure Policy, Complaint Handling, ICF Disclosure, Best Execution Policy, Conflicts of Interest Policy, Leverage Policy, Fees and Charges, KID, Cookies Policy, Privacy Policy, and SFDR Statement). These documents, as amended from time to time, form an integral part of this Agreement

Part B – Client Categorization & Disclosures

1. Client Categorization Declaration

In accordance with the Investment Services and Activities and Regulated Markets Law of 2017 (Law 87(I)/2017) and MiFID II, the Company is required to categorise its Clients as Professional Clients or Eligible Counterparties. The Client acknowledges and accepts their categorisation as declared below:

1.1. Professional Client

A Professional Client is a client who possesses the experience, knowledge, and expertise to make their own investment decisions and properly assess the risks involved.

Professional Clients include, inter alia:

- Entities authorised or regulated to operate in the financial markets (e.g., investment firms, credit institutions, insurance companies, collective investment schemes, pension funds).
- Large undertakings meeting at least two of the following size requirements on a company basis:
 - Balance sheet total: EUR 20,000,000
 - Net turnover: EUR 40,000,000
 - Own funds: EUR 2,000,000
- National and regional governments, public bodies that manage public debt, central banks, international and supranational institutions.
- Other institutional investors whose main activity is investing in financial instruments.

Individuals or small undertakings may also be treated as Professional Clients upon request ("opt-up"), provided they satisfy at least two (2) of the following criteria:

1. Trading Activity

☐ I have carried out transactions of significant size on the relevant market (e.g. CFDs, FX, derivatives, shares) at an average frequency of 10 per quarter over the previous four quarters.

Supporting evidence provided:

- ☐ Broker / account statements
- ☐ Transaction records
- ☐ Other: _____

2. Financial Instrument Portfolio

- ☐ My financial instrument portfolio, including cash deposits, exceeds EUR 500,000.

Supporting evidence provided:

- ☐ Portfolio statements
- ☐ Bank statements
- ☐ Custody account confirmation
- ☐ Other: _____

3. Professional Experience

- ☐ I work or have worked in the financial sector for at least one (1) year in a professional position requiring knowledge of the transactions or services envisaged.

Supporting evidence provided:

- ☐ Employer confirmation letter
- ☐ Employment contract
- ☐ Professional qualification certificate
- ☐ Other: _____

1.2. Eligible Counterparty

An Eligible Counterparty is a client to whom the Company is permitted to provide execution of orders, dealing on own account, or reception and transmission of orders, without being subject to certain conduct of business rules that otherwise apply.

Eligible Counterparties include:

- Investment firms, credit institutions, insurance companies, UCITS and their management companies, pension funds and their management companies, and other regulated financial institutions.
- National governments and their corresponding offices, including public bodies that deal with public debt, central banks, and supranational organisations.

1.3. Declaration

☐ I hereby declare that I qualify as a Professional Client under MiFID II and the Law and accept the reduced level of investor protection associated with this classification.

☐ I hereby declare that I qualify as an Eligible Counterparty under MiFID II and the Law and accept the reduced level of investor protection associated with this classification.

The Client further undertakes to provide any supporting documentation required by the Company in order to verify their classification.

1.4. Important Note on Protections

The Client acknowledges and accepts that their categorisation determines the level of regulatory protections they will receive under MiFID II and the Law:

- Professional Clients benefit from a reduced level of protection compared to Retail Clients. They may not be entitled to certain disclosures, risk warnings, or investor compensation protections

that apply to Retail Clients. However, the Company still owes Professional Clients obligations regarding best execution, order handling, and conflict of interest management.

- Eligible Counterparties benefit from the lowest level of protection. The Company is not required to comply with certain conduct of business rules, including best execution, appropriateness assessments, or the obligation to provide detailed information on costs and charges.

By signing this Agreement, the Client expressly confirms that they understand and accept the implications of their categorisation.

2. Risk Disclosure Confirmation

Client acknowledges receipt, understanding, and acceptance of the Risk Disclosure Statement.

PART C- Application & Questionnaires

1. Client Details Form

1.1. The following information is requested by Private Clients who wish to open an account with the Company.

Client 1 Details		
1. Name:	Surname:	Father's Name:
Date of Birth:	Place of Birth:	Nationality:
I.D. Passport No:	Country of Issue:	I.D. Passport Expiry Date:
Marital Status:		Dependents:
Employer's Name:		Profession:
Home Address:		
Home Tel:	Mobile:	Email:
Relationship with Client:		

Does the client hold dual nationality? YES ☐ NO ☐ (if yes please provide supporting documentation)

Declare other nationalities: _____

Is the Client a PEP? YES ☐ NO ☐ (If yes please complete the table below)

Is the Client Related to a PEP? YES ☐ NO ☐ (If yes please complete the table below)

Note: PEP means a Politically Exposed Person i.e. a person who holds prominent public functions in a governmental (or semi-governmental) body

PEP Details:		☐
PEP Since:		☐
PEP End Date:		☐
PEP Relationship:		☐

Client 2 Details		
2. Name:	Surname:	Father's Name:
Date of Birth:	Place of Birth:	Nationality:
I.D. Passport No:	Country of Issue:	I.D. Passport Expiry Date:
Marital Status:		Dependents:
Employer's Name:		Profession:
Home Address:		
Home Tel:	Mobile:	Email:
Relationship with Client:		

Does the client hold dual nationality? YES ☐ NO ☐ (if yes please provide supporting documentation)

Declare other nationalities: _____

Is the Client a PEP? YES ☐ NO ☐ (If yes please complete the table below)

Is the Client Related to a PEP? YES ☐ NO ☐ (If yes please complete the table below)

Note: PEP means a Politically Exposed Person i.e. a person who holds prominent public functions in a governmental (or semi-governmental) body

PEP Details:		☐
PEP Since:		☐
PEP End Date:		☐
PEP Relationship:		☐

1.2. The following information is required by Legal Entities who wish to open an account with the Company:

Legal Entity Details	
Legal Entity Name:	
Registration No.:	Country of Establishment:
Registered Address:	
Main Place of business (if different):	
Telephone No.:	Email Address:
Regulatory Authority (if applicable):	License No (if applicable):
Legal Entity Identifier (LEI):	

Compliance Officer's details (if applicable):	
Business Activities:	Website:

Ultimate Beneficial Owner(s) (UBO's) Details 1		
1. UBO Name:	Surname:	Father's Name:
Date of Birth:	Place of Birth:	Nationality:
I.D. Passport No:	Country of Issue:	I.D. Passport Expiry Date:
Marital Status:		Dependents:
Employer's Name:		Profession:
Home Address:		
Home Tel:	Mobile:	Email:
Relationship with Client:		
Ultimate Beneficial Owner		☐
Director		☐
Senior Management Official		☐
Other (Please specify):		☐

Does the client hold dual nationality? YES ☐ NO ☐ (if yes please provide supporting documentation)

Declare other nationalities:

Is the Client a PEP? YES ☐ NO ☐ (If yes please complete the table below)

Is the Client Related to a PEP? YES ☐ NO ☐ (If yes please complete the table below)

Note: PEP means a Politically Exposed Person i.e. a person who holds prominent public functions in a governmental (or semi-governmental) body

PEP Details:		☐
PEP Since:		☐
PEP End Date:		☐
PEP Relationship:		☐

Ultimate Beneficial Owner(s) (UBO's) Details 2		
2. UBO Name:	Surname:	Father's Name:
Date of Birth:	Place of Birth:	Nationality:
I.D. Passport No:	Country of Issue:	I.D. Passport Expiry Date:
Marital Status:		Dependents:
Employer's Name:		Profession:
Home Address:		
Home Tel:	Mobile:	Email:
Relationship with Client:		
Ultimate Beneficial Owner		☐
Director		☐
Senior Management Official		☐
Other (Please specify):		☐

Does the client hold dual nationality? YES ☐ NO ☐ (if yes please provide supporting documentation)

Declare other nationalities: _____

Is the Client a PEP? YES ☐ NO ☐ (If yes please complete the table below)

Is the Client Related to a PEP? YES ☐ NO ☐ (If yes please complete the table below)

Note: PEP means a Politically Exposed Person i.e. a person who holds prominent public functions in a governmental (or semi-governmental) body

PEP Details:		☐
PEP Since:		☐
PEP End Date:		☐
PEP Relationship:		☐

1.3. The following information is required by the persons appointed as the Authorised Representative of a Client:

1. Name:		Surname:	Father's Name:
Date of Birth:		Place of Birth:	Nationality:
I.D. Passport No:	Country of Issue:	I.D. Passport Expiry Date:	
Employer's Name:		Profession:	
Home Address:			
Home Tel:	Mobile:	Email:	
Type of Authority (may select more than one):			
Placing orders/Sending instructions			☐
Execution of the agreement and account opening documents			☐

Receive trade confirmation	☐
Receive statements and material correspondence	☐
Other (Please specify):	☐
Relationship with the Client:	

The authority of the above Authorised Representative must be evidenced by a duly certified Power of Attorney, Board Resolution, or other authorising document, which shall be attached to this Agreement.

Is the Client a PEP? YES ☐ NO ☐ (If yes please complete the table below)
 Is the Client Related to a PEP? YES ☐ NO ☐ (If yes please complete the table below)

Note: PEP means a Politically Exposed Person i.e. a person who holds prominent public functions in a governmental (or semi-governmental) body

PEP Details:		☐
PEP Since:		☐
PEP End Date:		☐
PEP Relationship:		☐

2. Economic Profile Questionnaire

1. Economic Profile:	
i. Purpose for establishing the Business Relationship with the Company:	
☐ Profit-making / speculative trading ☐ Hedging exposures (e.g. FX, commodities) ☐ Portfolio diversification / treasury management ☐ Other: _____	
ii. Main Economic Activity:	
iii. Anticipated Annual Account Turnover:	
☐ €500,000 – €1,000,000 ☐ €1,000,000 – €5,000,000 ☐ > €5,000,000	
iv. Level of assets to be deposited:	
☐ < €100,000 ☐ €100,000 – €500,000 ☐ €500,000 – €1,000,000 ☐ > €1,000,000	

v. Estimated number of transactions per year: ☐ < 50 ☐ 50 – 250 ☐ 250 – 500 ☐ > 500															
vi. Nature of transactions ☐ Forex CFDs ☐ Indices CFDs ☐ Metals CFDs ☐ Commodities CFDs ☐ Bonds CFDs															
vii. Expected origin of incoming funds: Name of the bank: Location of the bank: Personal bank account: Yes ☐ No ☐															
viii. Expected destination of outgoing funds: Name of the bank: Location of the bank: Personal bank account: Yes ☐ No ☐															
Please indicate whether income or wealth are generated abroad: Yes ☐ No ☐ If yes, indicate country:															
2. Source of Income and Amount:															
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 40%;">i. Salary:</td> <td style="width: 10%; text-align: center;">☐</td> <td style="width: 50%;">Annual Amount in EUR</td> </tr> <tr> <td>ii. Dividends:</td> <td style="text-align: center;">☐</td> <td>Annual Amount in EUR</td> </tr> <tr> <td>iii. Rent:</td> <td style="text-align: center;">☐</td> <td>Annual Amount in EUR</td> </tr> <tr> <td>iv. Interest:</td> <td style="text-align: center;">☐</td> <td>Annual Amount in EUR</td> </tr> <tr> <td>v. Other:</td> <td style="text-align: center;">☐</td> <td>Annual Amount in EUR</td> </tr> </table>	i. Salary:	☐	Annual Amount in EUR	ii. Dividends:	☐	Annual Amount in EUR	iii. Rent:	☐	Annual Amount in EUR	iv. Interest:	☐	Annual Amount in EUR	v. Other:	☐	Annual Amount in EUR
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3. Source of Wealth:															
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iv. Real Estate	☐	Amount in EUR													
v. Borrowing/Loans	☐	Amount in EUR													

vi. Other (please specify):	☐	Amount in EUR
Total Value of Wealth:		

3. Investor Questionnaire

The following information is required to be provided by Private Clients and other types of Legal Entities to assess their level of knowledge in relation to the financial services field.

SECTION 1: APPROPRIATENESS TEST KNOWLEDGE AND EXPERIENCE

1. What is your education level?

- | | |
|---------------------------|--------------------------|
| Secondary | ☐ |
| University | ☐ |
| Postgraduate/Professional | ☐ |

2. What is your profession or relevant former profession?

Profession – please specify:

Former profession – please specify:

3. Please advise which services you have used in the past

- | | |
|--------------------------------|--------------------------|
| Execution Only | ☐ |
| Investment Advice | ☐ |
| Discretionary Asset Management | ☐ |
| None | ☐ |

4. In which type of financial instruments have you invested in the past 3 years?

- | | |
|---|--------------------------|
| Equities | ☐ |
| Exchange Traded Funds (ETFs) | ☐ |
| Fixed Income (Bonds) | ☐ |
| Forex | ☐ |
| Derivatives (options, futures, swaps, CFDs) | ☐ |
| Commodities | ☐ |
| None | ☐ |

5. Have you been/are employed in a position requiring knowledge of financial services/instruments over the past five (5) years?

Yes ☐

No ☐

6. How do you evaluate your investment knowledge?

No knowledge – you need advice ☐

Basic knowledge – you need advice ☐

Average knowledge – you can develop your own investment ideas ☐

In-depth knowledge – you can implement your investment ideas independently ☐

7. How do you evaluate your investment experience, where experience means you have conducted at least 15 trades within the last 3 years?

No experience ☐

Limited experience (1-2 years) ☐

Average experience (3-5 years) ☐

Many years of experience (6+ years) ☐

8. What is the frequency of your financial transactions?

Frequent (at least weekly) ☐

Occasional (1-2 times per month) ☐

Rare (1 – 2 times per year) ☐

None ☐

SECTION 2: KNOWLEDGE & EXPERIENCE

Please complete for each instrument type you have experience with

Financial Instrument	Knowledge		Experience (last 3 years)		Average Annual Value (>€200,000 in last 5 years)	
Forex	None	☐	0	☐	Yes	☐
	Limited	☐	1-4	☐		
	Good	☐	5 or more	☐	No	☐
	Expert	☐				
Equities (Shares, Exchange Traded Funds (ETFs))	None	☐	0	☐	Yes	☐
	Limited	☐	1-4	☐		

	Good	☐	5 or more	☐	No	☐
	Expert	☐				
Fixed Income (Bonds, Eurobonds, Government Bonds, Capital Securities, Convertible Bonds etc.)	None	☐	0	☐	Yes	☐
	Limited	☐	1-4	☐		
	Good	☐	5 or more	☐	No	☐
	Expert	☐				
Funds	None	☐	0	☐	Yes	☐
	Limited	☐	1-4	☐		
	Good	☐	5 or more	☐	No	☐
	Expert	☐				
Commodities and precious metals	None	☐	0	☐	Yes	☐
	Limited	☐	1-4	☐		
	Good	☐	5 or more	☐	No	☐
	Expert	☐				
Options, futures, swaps or other complex derivatives or investment products	None	☐	0	☐	Yes	☐
	Limited	☐	1-4	☐		
	Good	☐	5 or more	☐	No	☐
	Expert	☐				

4- Tax Residency Information

SECTION I: GENERAL DATA

IDENTIFICATION OF ACCOUNT HOLDER

In general, the contracting party of a Business Relationship for the provision of investment services/activities is treated as the Account Holder for the purposes of CRS. However, there are exceptions regarding certain intermediaries as well as concerning trusts.

For Individuals:

Full Name
(including title
and middle
name)

I.D./Passport Number _____
 I.D./Passport Expiry Date _____
 I.D./Passport Country of Issue _____
 Date of Birth _____
 Country of Birth _____
 Permanent Residence Address _____

For Companies:

Name of Legal Entity _____
 Entity Registration Number _____
 Jurisdiction _____
 Registered Address _____
 Main place of business address (if different) _____

Please do not use P.O. Box or in-care of addresses unless these are entered as such in the commercial register.

SECTION II: FATCA AND CRS

PART A: FATCA

PART A(I): US PERSONS

If your entity is one of the following, please tick the appropriate category:

- ☐ The Entity is a Specified U.S. Person with the following Federal Taxpayer Identifying Number (U.S. TIN):

- ☐ The Entity is a U.S. Person that is not a Specified U.S. Person by virtue of the exemption detailed here:

PART A(II): U.S. FATCA Classification for Non-U.S. Entities

Please complete this section if the entity is not a U.S. Tax Resident

(a) If the entity is a Registered Financial Institution, please tick one of the below, and provide the entity's FATCA GIIN:

- ☐ IGA Partner Jurisdiction Financial Institution.
☐ Registered Deemed Compliant FFI
☐ Participating FFI

Please provide your Global Intermediary Identification Number (GIIN): (if registration in progress please indicate "in progress")

(b) If the entity is a Financial Institution but unable to provide a GIIN, please tick one of the below reasons:

☐ The Entity is a Sponsored Financial Institution and has not yet obtained a GIIN
Please provide Sponsoring Entity's Name and Type:

☐ The Entity is a Trustee Documented Trust
Please provide your Trustees name:

Please provide your Trustee's GIIN:

☐ The Entity is a Certified Deemed Compliant, or otherwise Non-Reporting, Foreign Financial Institution (including a Foreign Financial Institution deemed compliant under Annex II of an IGA)
Please indicate exemption:

☐ The Entity is a Non-Participating Foreign Financial Institution

(c) If the entity is not a Foreign Financial Institution, please confirm the entity's status below:

☐ The entity is an Exempt Beneficial Owner
Please indicate status:

- ☐ The Entity is an Active Non-Financial Entity (including an Excepted NFFE)
- ☐ The Entity is a Passive Non-Financial Entity. If you have ticked Passive Non-Financial Entity, please also complete Section III below providing further details of any Controlling Person(s).
- ☐ If your classification does not appear in Parts A(I) – A(II) above, please tick this box. If you have selected this option, please provide explanation:
-

PART B: CRS

Please Provide your CRS classification by checking the corresponding box(es).
Note that CRS classification does not necessarily coincide with your US FATCA classification.

Please classify the Entity type of the Account Holder by selecting one of the following. Further information on definitions can be found in the Glossary

- ☐ **A. Financial Institution – Investment Entity**
- ☐ i. An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution
- ☐ ii. Other Investment Entity

- ☐ **B.** Financial Institution – Depository Institution, Custodian Institution or Specified Insurance Company
- ☐ **C.** Active NFE – a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation
- ☐ **D.** Active NFE – a Government Entity or a Central Bank
- ☐ **E.** Active NFE – an International Organisation
- ☐ **F.** Active NFE – other than C – E
- ☐ **G.** Passive NFE

Additional Entity Information

Please provide additional required information depending on your entity type above

(a) If you have selected C, please provide the name of the established securities market on which the corporation is regularly traded:

(b) If you are a Related Entity of a regularly traded corporation, please provide the name of that regularly traded corporation:

(c) If you have selected A (i) or G please provide the following:

i. Number of Controlling Person(s) of _____
Passive NFE: _____

Number of Controlling Person(s) of Account Holder: _____

Please complete a 'Controlling Person self-certification form' for each Controlling Person (additional forms will be provided by the Company).

Note: Please see the definition of Controlling Person in the Glossary. If there are no natural person(s) who exercise control of the Entity, then the Controlling Person will be the natural person(s) who holds the position of senior managing official.

SECTION III: CONTROLLING PERSON SELF-CERTIFICATION FORM

Please complete the following table indicating:

- i. Where the Account Holder is tax resident; and
- The Account Holder's TIN for each country indicated.

Please note:

- If the Account Holder is not tax resident in any jurisdiction (i.e. because it is fiscally transparent), please indicate that on line 1 and provide its place of effective management or country in which its principal office is located.
- If the Account Holder is tax resident in more than three countries, please use a separate sheet.
- If the Account Holder has more than one Controlling Person, the Company shall provide you with additional Controlling Person Self- Certification Forms to be completed.
- If a TIN is unavailable, please provide one of the following reasons:

Reason A: The country/jurisdiction where the Account Holder is resident does not issue TINs to its residents.

Reason B: The Account Holder is otherwise unable to obtain a TIN or equivalent number.

Reason C: No TIN is required (only select this reason if the authorities of the country of tax residence entered below do not require a TIN to be disclosed). Please select this reason only in case the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such country/jurisdiction.

Country/Jurisdiction of Tax Residence	TIN	If no TIN available enter Reason A, B* or C
1		
2		
3		

***If you have selected Reason B, please explain why you are unable to obtain a TIN.**

FATCA/CRS Declaration

I/We hereby declare that all statements made in this FATCA/CRS self-certification form are, to the best of my/our knowledge and belief, true, correct, and complete.

I/We undertake to notify Exenico (CY) Ltd within **30 days** of any change in circumstances that causes the information contained herein to become incorrect or incomplete, and to provide a suitably updated self-certification and declaration within that period.

I/We acknowledge and agree that the information contained in this form, together with information regarding the Account Holder and any Reportable Account(s), may be provided to the Cyprus Tax Department and exchanged with the tax authorities of other jurisdictions in which the Account Holder may be tax resident, pursuant to intergovernmental agreements and applicable legislation.

For Individuals

Name of Account Holder: _____

Signature: _____

Date: _____

For Entities

Name of Entity: _____

Capacity of Signatory (e.g. Director, Authorised Signatory): _____

Name of Authorised Signatory: _____

Signature: _____

Date: _____

Part D – Mandatory Enclosures (Documentation Checklist)

The Client confirms that the following certified true copies are submitted together with this Agreement (tick as applicable). Certification must be performed by one of the following: a regulated financial institution, licensed lawyer, auditor, fiduciary service provider, notary public, embassy/consulate, police authority, or company registrar in an equivalent jurisdiction.

If documents are not in English, an official translation must be provided.

The Company reserves the right to request additional documents under its AML and KYC policies.

1.1. Mandatory Enclosure- Professional Clients -Individuals

- ☐ Certified copy of valid Passport or National ID
- ☐ Certified copy of recent Utility Bill (dated within the last 6 months) as proof of permanent residential address
- ☐ Evidence of business activities and source of wealth (e.g. tax returns, payslips, financial statements, dividend resolutions, proof of sale of assets, shareholding certificates, proof of sale of property)
- ☐ Evidence of financial capacity and investment experience, such as:
 - Broker statements or transaction records showing at least 10 transactions of significant size per quarter over the last 4 quarters
 - Portfolio statement(s) evidencing financial instrument portfolio (including cash deposits) exceeding EUR 500,000
 - Employer reference letter, contract of employment, HR confirmation, or professional qualification evidencing at least 1 year of relevant experience in the financial sector

1.2. Mandatory Enclosures- Professional Clients -Legal Entities

- ☐ Certificate of Incorporation / equivalent formation document
- ☐ Memorandum & Articles of Association (or equivalent constitutional documents)
- ☐ Certificate of Good Standing (recent)
- ☐ Certificate of Directors or trade register extract
- ☐ Register of Shareholders / Ultimate Beneficial Owners (UBOs)
- ☐ Ownership structure chart (up to the UBOs)
- ☐ Valid passport/ID of Directors and Shareholders/UBOs
- ☐ Recent Utility Bills (dated within the last 6 months) of Directors and Shareholders/UBOs

- ☐ Authorized Signatory List
- ☐ Board Resolution authorizing account opening and signatories
- ☐ Most recent Audited Financial Statements (for the last 3 years, if available)
- ☐ Recent Management Accounts (if available)
- ☐ Proof of financial size meeting MiFID II quantitative thresholds (e.g. audited financial statements, management accounts) (if applicable)
- ☐ Evidence of trading activity or expertise (e.g. transaction records, internal policies)
- ☐ Board Resolution confirming request for Professional Client classification

1.3. Mandatory Enclosures- Eligible Counterparties-Regulated Entities

(e.g. banks, investment firms, insurance companies, UCITS, AIFs, pension funds)

- ☐ Certificate of Incorporation / equivalent formation document
- ☐ Regulatory Licence / evidence of authorisation from competent authority
- ☐ Ownership structure chart (up to UBOs, if applicable)
- ☐ Authorised Signatory List
- ☐ Board Resolution authorising account opening and appointment of signatories
- ☐ Comfort Letter (if acting as nominee, confirming AML due diligence on UBOs)

1.4. Mandatory Enclosures- Eligible Counterparties-Other Entities

(e.g. national governments, central banks, supranational organisations)

- ☐ Legal documentation evidencing status (e.g. enabling legislation, incorporation documents, regulatory confirmation if applicable)
- ☐ Identification of authorised representatives/signatories

PART E

Declarations & Signatures

1. Declarations

By signing this Agreement, the Client hereby declares and confirms that:

- i. All information provided to the Company during the account opening process is true, accurate, and complete, and the Client undertakes to promptly notify the Company of any changes.
- ii. The funds and assets to be deposited with the Company are not derived from criminal activity and are not connected with money laundering or terrorist financing.
- iii. The Client acknowledges and accepts their categorisation as a Professional Client or an Eligible Counterparty under MiFID II and the Law, with the corresponding reduced level of investor protection.

- iv. The Client has read, understood, and accepted this Agreement, including all Appendices, the Company's legal documents, policies, and disclosures as published on the Company's official website, as amended from time to time.
- v. The Client confirms that they have independently assessed the risks associated with trading in financial instruments and have had the opportunity to seek independent professional advice where necessary.

2. Signatures

For Individual Clients

Name: _____
Identification Number (Passport/ID): _____
Signature: _____
Date: _____

For Corporate Clients

Legal Entity Name: _____
Registration Number: _____
Authorised Signatory (Name & Title): _____
Signature: _____
Corporate Seal (if applicable): _____
Date: _____

Resolution reference / authorisation confirming signing authority must be provided.

For Agents / Attorneys-in-Fact

Client Name: _____
Agent/Attorney Name: _____
Identification Number (Passport/ID): _____
Signature of Agent/Attorney: _____
Date: _____

A duly certified copy of the Power of Attorney or other authorising document must be attached. The Agent/Attorney accepts full responsibility for the obligations of the Client under this Agreement.