

## APPENDIX 2.1 TO THE BROKERAGE REGULATIONS: CLIENT QUESTIONNAIRE FOR INDIVIDUALS

### Client questionnaire for individuals

#### Important notice

Being a Company acting under the Laws of Saint Vincent and the Grenadines and observing the applicable laws, by-laws, rules, and regulations adopted by authorities, domestic and international regulatory agencies and professional associations, we are required to protect our client's interests, for which purpose we believe our primary tasks are to understand our clients, the nature of their business, financial position, sources of funds, and to ensure that we understand fully their investment objectives, knowledge and experience in investment sphere, and also in certain financial product or service.

Thus, you certify that all statements made in this Client's questionnaire (the "Questionnaire") and all information, documents or others, provided to us (hereinafter referred to as the "Information") is complete, true and accurate, and that it is provided upon your initiative. You agree to be fully liable for the provided Information, and do not object that the Information is being collected also to confirm your business reputation according to practices applicable in international securities markets.

You also agree that according to the Information provided by you in this Questionnaire and other documents, we may after reviewing your circumstances consider you as a professional client and work with you as a professional client, unless another agreement is reached. In any event, the Company reserves the right to assume any possible measures for checking the reliability of the Information, specified by you in the Questionnaire, particularly to request supporting documents and also additional information and documents for the purpose of your classification in definite category of clients, and you hereby certify your consent to provide such documents and information.

You shall be responsible for notification to the Company of any modifications of the Information that may influence your classification to the definite category of clients.

The Information provided in this Questionnaire shall be kept confidential and shall not be disclosed by us to a third party without your consent other than by explicit requirement under the applicable laws. You agree and acknowledge that if it is required to disclose any of such information, we shall, without your additional consent, submit information only to the extent required by the appropriate regulations and only to the person specified in such regulations.

If you do not provide information or provide insufficient information pursuant to paragraph 1 of the present notice, this may not allow the Company to determine appropriateness of specific services and/or products and result in relevant restrictions in their providing by the Company, including failure to conclude the Brokerage Agreement with you.

## Personal Information

First Name \_\_\_\_\_

Last Name \_\_\_\_\_

Phone number \_\_\_\_\_

Email \_\_\_\_\_

Address \_\_\_\_\_

Date of birth \_\_\_\_\_

County of birth \_\_\_\_\_

Citizenship \_\_\_\_\_

You are a Tax Resident of the country/ies stated below:

Country: \_\_\_\_\_ Tax Identification Number (TIN):  
\_\_\_\_\_

Country: \_\_\_\_\_ Tax Identification Number (TIN):  
\_\_\_\_\_

If no TIN is provided, select one of the reasons below:

- Country does not issue TIN  
 TIN is not required by the domestic law  
 Unable to obtain a TIN, specify the reason:  
\_\_\_\_\_

Do you or your immediate family members or close associate is/are PEP (Politically Exposed Person - an individual with a high profile political role, or someone who is or has been entrusted with a prominent public function)?

- YES  NO *(i.e. head of State, head of government, minister or deputy or assistant minister; member of parliament; member of supreme courts, of constitutional courts or of other high-level judicial bodies; member of courts of auditors or of the boards of central bank; ambassador; high-ranking officer in the armed forces; member of the administrative, management or supervisory bodies of State-owned enterprises)*

## Economic Profile

According to financial regulations Lime Ltd is obliged to request from its clients to provide all necessary information in order to comply with requirements for customer identification and due diligence procedures and the construction of the Client's economic profile.

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### I will credit/debit my account with my own funds by

- Bank transfer
- Credit/debit card
- Transfer via payment system

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### Annual Net Income (USD)

- Less than \$15 000
- \$15 001 – \$50 000
- \$50 001 – \$100 000
- \$100 001 – \$300 000
- \$300 001 – \$700 000
- \$700 001 – \$1 000 000
- If more than 1 000 000, please specify the amount. USD: \_\_\_\_\_

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### Employment status

- Employed
- Retired
- Self-employed
- Student
- At-home trader (no other occupation)
- Homemaker
- Unemployed
- Other

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### Net worth (USD)

- Less than 100 000
- 100 000 – 500 000
- 500 000 – 1 000 000
- If more than 1 000 000, please specify the amount. USD: \_\_\_\_\_

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### Which sum (USD) do you intend to invest in securities

- Less than \$15 000
- \$15 001 – \$50 000
- \$50 001 – \$100 000
- \$100 001 – \$300 000
- \$300 001 – \$700 000
- \$700 001 – \$1 000 000
- If more than 1 000 000, please specify the amount. USD: \_\_\_\_\_

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### Industry of employment

- Agriculture
- Education
- Emergency service
- Financial service
- Health/ medicine
- HR
- Industrial production
- Information technology
- Legal
- Leisure/recreation/tourism
- Marketing/pr/advertising
- Military
- Pharmaceuticals
- Real estate / construction

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## Type of income

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- Salary
- Earnings from investments
- Family savings
- Dividends, rent, and other passive income
- Individual and/or unincorporated entrepreneurship
- Other (please indicate): \_\_\_\_\_

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- Retail
  - Telecommunications
  - Transportations/logistics

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## Education

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- Non
- Secondary
- Bachelor's degree or equivalent
- PhD or equivalent

## Live Trading Experience

Shares	CFD	Forex	Futures
<input type="checkbox"/> Less than 1 year	<input type="checkbox"/> Less than 1 year	<input type="checkbox"/> Less than 1 year	<input type="checkbox"/> Less than 1 year
<input type="checkbox"/> 1-3 years	<input type="checkbox"/> 1-3 years	<input type="checkbox"/> 1-3 years	<input type="checkbox"/> 1-3 years
<input type="checkbox"/> More than 3 years	<input type="checkbox"/> More than 3 years	<input type="checkbox"/> More than 3 years	<input type="checkbox"/> More than 3 years

## Leverage Policy

By default, we offer our clients a maximum leverage of 1:500 on all our products.

Do you want to be able to access higher levels of leverage and have the required knowledge and experience to do so? Yes  No

## Knowledge and Experience (Appropriateness Test)

In the section below please enter information about your trading experience for each product. Based on the answers you provide below we will make an assessment whether you have the necessary knowledge and experience to understand the risk involved in the "complex" instruments. Please indicate your trading experience for each type of financial instrument below. Failure to give us accurate answers will prevent us from assessing these instruments as appropriate for you and therefore may mean that you lose the protection given by the appropriateness test.

Do you have a minimum of 1 year trading experience and more than 10 trades executed on a Live or Demo account?

Equities (non-complex instruments)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Money Market instruments (non-complex instruments: deposits, federal government bonds, commercial papers notes and other fixed income instruments)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Forex (complex instruments)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Derivatives (options, futures, swaps, forward rate agreements and any other derivative contracts relating to securities, currencies, interest rates, yields or commodities)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

Please note that you apply for Margin Account. Borrowing to support equities trading, shorting of equities, full options trading, full futures/futures options trading, currency conversions, and securities/commodities trading in multiple currency denominations is available. Margin requirements are computed real-time under a rules-based calculation methodology, with immediate position liquidation if the minimum maintenance margin requirement is not met. Purchase and sale proceeds are immediately recognized.

## Trading Account Information

Account Type: \_\_\_\_\_

Currency: \_\_\_\_\_

Security Word: \_\_\_\_\_

## Client Confirmation

- I do hereby give my approval and consent to all present Client confirmations:
- ✓ This account will be used to trade and/or invest on behalf of myself as the account holder and I will invest my own funds
  - ✓ I, the account holder, have never been the subject of an investigation or proceeding by any commodities or securities exchange or regulatory authority or self-regulatory authority
  - ✓ I, the account holder, have never been the subject of, or initiated litigation, arbitration or any other type of dispute or settlement procedure with another broker or dealer
  - ✓ I, the account holder, confirm that I am not a member of an exchange or a regulatory or a self-regulatory organization, or an associated person, affiliated person or employee of an exchange member.

## Client Authorisation

- Additional income on uninvested balances of monetary funds and financial instruments.** I do hereby accept, agree, give my explicit consent and authorise the Company to perform all necessary actions with regard to additional income generated on uninvested balances of monetary funds and financial instruments.
- ✓ **Activate the service "REPO"**  
I hereby provide my express consent and give my order that authorizes the Company to conclude REPO transactions with all available, unutilized and unblocked financial instruments on my brokerage account. When these financial instruments are needed back in my brokerage account the Company will undertake all necessary steps to withdraw necessary financial instruments from REPO and transfer them back to my brokerage account without any delay.

## Client Declarations

- I do hereby give my approval and consent to all present Client Declarations:
- ✓ I agree that Lime Ltd will provide me with information regarding investments.
  - ✓ I agree that my personal information, including name, personal identification number, address etc., as well as client information, including account information, investments etc., submitted by me when registering as a client with Lime Ltd or later may be disclosed to partners of Lime Ltd. I agree that Lime Ltd and its related parties may send me communications about offers and promotions.
  - ✓ I declare that I act in my own name as specified above and not on behalf of a third party in respect of all matters related to this client relationship. Accordingly, all funds to be deposited and traded on the account with Lime Ltd are my own funds.
  - ✓ I hereby attach my identification documents. In the event that there is any change, I undertake to advise you within 30 days of any such change in writing.

- ✓ I am aware of FATCA (Foreign Account Tax Compliance Act) provisions and obligations, which became enforceable in Saint Vincent and the Grenadines upon Saint Vincent and the Grenadines signing the relevant Intergovernmental Agreement and has further been incorporated into domestic legislation. I am aware and acknowledge that FATCA requires Financial Institutions to report information relating to reportable accounts as provided in the Intergovernmental Agreement to the Saint Vincent and the Grenadines Tax Department.
- ✓ I am aware of CRS (Common Reporting Standard) provisions and obligations which became enforceable in Saint Vincent and the Grenadines upon the Saint Vincent and the Grenadines signing the Multilateral Competent Authority Agreement on Automatic Exchange of Financial Account Information and has further been incorporated into domestic legislation as amended from time to time. I am aware and acknowledge that the information contained in this form and information regarding my account(s) may be reported to the Saint Vincent and the Grenadines Tax Department and the Saint Vincent and the Grenadines Tax Department may in turn exchange such information with the tax authorities of other countries in which I may be a tax resident, where those countries have entered into agreements to exchange financial account information.
- ✓ I hereby confirm that I am not directly and/or indirectly involved in any criminal activity in any conduct or money laundering activity or terrorist financing activity, my wealth and income proceeds are legitimate and have been personally identified and there is no conflict of interest whatsoever.
- ✓ I confirm that I am acting on my own behalf and not as nominee(s) or in a fiduciary capacity on behalf of any other person(s).

## Client Consent

- I do hereby give my approval and express consent to all present Client Consents:
  - ✓ I declare that I give my express consent to the following provisions and policies:
    - Terms and Conditions for the Provision of Services
    - **Client orders may be executed outside of a Regulated Market or Multilateral Trading Facility (MTF)**
    - **Client Limit Orders which have not been immediately executed under prevailing market conditions may not be made public (unless instructed otherwise by you in writing)**
    - After reviewing all circumstances on an individual basis the Company may consider the Client as a professional client and work with it as a professional client, unless another agreement is reached.
    - **Client agrees to communicate in a durable medium other than on paper including electronic means such as email or Company web site. In this respect Client confirms that he/she has regular access to the internet.**
  - ✓ I have carefully read and fully understood the entire text of the present Brokerage Regulations and policies included thereon.
  - ✓ I declare and understand that trading in derivative are in line with my investments objectives and risk profile, including possibility of unlimited financial losses that might be associated with the risky investments in derivatives.
  - ✓ I further acknowledge that trading with financial instruments on financial market may involve significant risk of loss and it is not suitable for all investors, that the value of the investments can both increase and decrease and the investors may lose all their investment capital, I acknowledge that in case of a leveraged product, the loss may be more than the initial capital invested and any financial success of other parties doesn't guarantee the same result for investor.

By clicking on "I agree" you certify, under penalty of perjury that:

- (i) the information provided is correct, complete and not misleading and I will inform the Company immediately about any changes to the details or information provided.
- (ii) "I agree" represents your digital signature which is the equivalent of your written signature and you will be entering into a legally binding agreement, the equivalent of a signed written contract.
- (iii) consent to the use of electronic records to evidence your certification/agreement.

## Complex Instruments Risk Warning Notice

This notice cannot disclose all the risks and other significant aspects of complex instruments. You should not deal in these products unless you understand their nature and the extent of your exposure to risk. You should also be satisfied that the product is suitable for you in the light of your circumstances and financial position.

Although Complex instruments can be utilized for the management of investment risk, some of these products are unsuitable for many investors. Different instruments involve different levels of exposure to risk and in deciding whether to trade in such instruments you should be first make acquainted yourself with the risks associated with the investments as disclosed in the Company's Brokerage Regulations.

## Appropriateness

Complex instruments are derivative products for which special risks apply. Investors are required to provide information regarding their knowledge and experience in these products so as to enable an assessment whether the product is appropriate for them to be made, as requested in the Questionnaire which you are requested to fill in before we can proceed to offer a service. **Your responses to the questions will deem whether trading in complex instruments is appropriate for you.**

## Declaration

I acknowledge that this appropriateness test is in place for my protection and confirm that the answers I have provided are truthful.

I understand the risks involved in dealing in complex instruments, and declare that I have sufficient knowledge about the product and am able to assess the merits and declare that the product is appropriate in relation to my investment needs and abilities.

I also confirm that complex instruments are suitable for me, given my investment objectives and attitude to risk and that I meet the experience and expertise conditions.

**Date:** \_\_\_\_\_

\_\_\_\_\_  
(name of the Client)

\_\_\_\_\_  
(Signature)