

## **Elective Professional Client categorization request form**

Under the Markets in Financial Instruments Directive HTFX (EU) LTD (hereinafter the “Firm”) may treat you as an elective professional client if, after our assessment of your experience and expertise, and knowledge of you, we are reasonably assured that considering the nature of the transactions or services envisaged, you are capable of making your own investment decisions and do understand the risks involved. This is referred to as the “qualitative test”.

In making our assessment we may evaluate the information we already possess about you and/or request additional information from you. We may also call you to discuss your investment experience.

In addition to this qualitative test, you must also satisfy at least 2 of the following 3 criteria:

- (1) You have carried out transactions, in significant size, on the relevant market at an average frequency of 10 per quarter over the previous 4 quarters.
- (2) The size of your financial instrument portfolio, including cash deposits AND financial instruments, exceeds EUR 500,000.
- (3) You work or have worked in the financial sector for at least one year in a professional position, which requires knowledge of the transaction or services envisaged.

### **CLIENT DECLARATION AND WARRANTIES:**

I warrant that I/this entity/we satisfy at least two of the three criteria listed above.

Furthermore, I confirm that I wish to be treated as an elective professional client generally by HTFX (EU) LTD.

I have read and understood the written warning below from HTFX (EU) LTD regarding the protections and compensation rights that I may lose, and I am aware of the consequences of losing such protections.

### **WARNING REGARDING PROFESSIONAL CLIENT CATEGORISATION**

Loss or alteration of protection and compensation rights that occur by attaining elective professional status:

- Communications, including financial promotions made by us with professional clients are not subject to all the requirements imposed by MiFID on communications with Retail clients
- Information provisions about HTFX (EU) LTD (hereafter, “the Firm”), its services, and remuneration that are required with respect to retail clients are not all required with respect to professional clients

- Professional clients are not eligible complainants with respect to the Financial Ombudsman Services
- Professional clients are not eligible to any compensation by the Firm through the Investors Compensation Fund (“ICF”)
- Pre-requirements for the entry into written basic agreements for designated investment business may not apply to professional clients
- The Firm is not required to request information or adhere to the same procedures when assessing the appropriateness of a given service or product for a professional client
- The Firm may not be required to give warnings to the professional client if the Firm cannot determine appropriateness with respect to a given services or product
- The Firm must provide certain product information to retail clients, but not professional clients, when selling packaged products.
- The Firm may take into consideration the classification of the client in following its Order Execution Policy, as well as in providing information, including product information, to clients

I am aware that it is up to me/us/this entity to keep HTFX (EU) LTD informed of any change that could affect my categorization.

Signature: .....

Date: ...../...../.....

User Profile No.: .....

Full Name: .....

**On behalf of HTFX (EU) LTD**

(For internal use only)

Name: ..... Date: ..... /...../.....

Position: ..... Signature: .....