



























Never

**3. Do you have relevant professional or academic qualification that would provide you with a good understanding of the risks involved in trading leveraged and derivative products?**

- Worked for at least 3 years in directly relevant role
- Worked for less than 3 years in directly relevant role
- No, never

**3a. If Client chooses the first or second answer:**

- Accountant
- Back Office
- Chief Executive Officer
- Chief Financial Officer
- Chief Financial Officer
- Chief Operations Officer
- Client Relationship Manager
- Director
- Economist
- Fund Manager
- Investment Advisor
- Investment Analyst
- Sales
- Lawyer
- Operations
- Portfolio Manager

**4. What would be the required margin for 1 Lot (100,000) EUR/USD if your leverage is 1:30?**

- EUR. 9,000
- EUR. 5,000
- EUR. 3,333
- EUR. 12,000

**5. What type of closing order can you choose to help limit losses when trading?**

- A Take Profit order
- A Stop Loss Order
- No such order exists

**6. The market moves by 5%. Trading with how much leverage would lead to the largest potential profit or loss?**

- 1:30
- 1:10
- 1:5

**7. Is it possible to open a short position for an Equity?**

- Yes  
 No

**8. When investing, what do you consider as an acceptable risk reward profile for your investments (i.e. possible losses and possible gains) ?**

- No loss with average 3% gain  
 Less than 5% average loss with less than 5% average gain;  
 5-10% average loss with 5-10% average gain;  
 10-50% average loss with 10-50% average gain;  
 50-100% average loss with 50-100% average gain;  
 100% average loss with over 100% average gain;

**9. When investing in CFDs, what do you consider as an acceptable risk reward profile for your investments (i.e. possible losses and possible gains)?**

- Short term (a few days or weeks) investments in assets for speculative purposes  
 Medium term (a few months) investments in assets for moderate capital appreciation  
 Long term (a few years) investments in assets for low capital appreciation  
 Buy and hold assets for capital preservation

**10. Please state your average yearly net disposable income i.e. total income minus expenses e.g. living expenses mortgage/rent payments, dept instalments, credit card payments etc.**

- Up to EUR. 10,000  
 EUR.10,000 – EUR. 20,000  
 EUR. 20,000 – EUR.50,000  
 Over EUR.50,000

I declare and confirm by agreeing that the Company:

- is not a Specified U.S. Person as defined in Appendix C.
- is not a Non-participating financial institution as defined in Appendix C.
- is not a Passive NFFE with controlling persons who are US citizens or US residents as defined in Appendix C.

I confirm  I don't confirm

I declare that:

- I am authorised to carry out this certification,
- I have examined the information in this Section (Section G) and to the best of my knowledge and belief it is true, correct, and complete.

I agree to notify the Company if any of the information in this Section (Section G) changes.

Aeron Markets is a registered brand of Aeron Ltd, a company registered in Mauritius FSC Register number GB20026195. Aeron Ltd is authorised and regulated by the Mauritius Financial Services Commission (License Number: GB20026195). The registered address for Aeron Limited is: Suites 340-355, Barkly Wharf, Le Caudan Waterfront, P.O Box 1070, Port Louis, Republic of Mauritius. Aeron Management company number 12875643 with the registered address 85 Great Portland Street, London, W1W 7LT acts as payment agent for Aeron Limited

Full Name:

Title (Power of attorney):

Date (Day/Month/Year):

Signature:

Company Seal:

## H. Risk Disclosure

In order to comply with Applicable Regulations, the Company must provide its prospective Clients with a Risk Disclosure statement on complex Financial Instruments.

Below is an overall description of the characteristics of CFDs and of the risks associated with them. For further information please refer to "Risk Disclosure and Warnings Notice" available on [http://: www.aeronmarkets.com](http://www.aeronmarkets.com)

1. Trading in CFDs involves high risk and is not suitable for all members of the general public. As a general rule, you should not therefore trade in CFDs if you do not understand the products and the risks associated with them.
2. A CFD - or Contract for Difference - is speculation in changes in values. This Financial Instrument allows the Client to speculate in future increases or decreases in the value of a specific Underlying Asset, for instance Currency Pairs, equity indices, metals, commodities and forwards. If the Client's speculations prove to be correct, he will make a profit from the difference in value (less costs), but he will have to pay the difference in value (plus costs) if his speculations turn out to be wrong.
3. CFDs available with the Company are always margin traded, allowing the Client to take a larger position than he would otherwise be able to based on his funds. So, a relatively small movement in the Underlying Market can have a disproportionately dramatic effect on the Client's trade. If the Underlying Market movement is in the Client's favor, the Client may achieve a good profit, but an equally small adverse market movement can not only quickly result in the loss of the Clients' entire deposit but may also expose the Client to a large additional loss. CFD trading therefore involves a relatively high level of risk.
4. CFDs trade within wide intraday ranges with volatile price movements. Therefore, the Client must carefully consider that there is a high risk of losses as well as profits. The price of CFDs is derived from the price of the Underlying Asset in which the CFD refers to. CFDs and related Underlying Markets can be highly volatile. The prices of CFDs and the Underlying Assets may fluctuate rapidly and over wide

Aeron Markets is a registered brand of Aeron Ltd, a company registered in Mauritius FSC Register number GB20026195. Aeron Ltd is authorised and regulated by the Mauritius Financial Services Commission (License Number: GB20026195). The registered address for Aeron Limited is: Suites 340-355, Barkly Wharf, Le Caudan Waterfront, P.O Box 1070, Port Louis, Republic of Mauritius. Aeron Management company number 12875643 with the registered address 85 Great Portland Street, London, W1W 7LT acts as payment agent for Aeron Limited

ranges and may reflect unforeseeable events or changes in conditions, none of which can be controlled by the Client or the Company Under certain market conditions it may be impossible for a client's order to be executed at declared prices leading to losses. The prices of CFDs and the Underlying Asset will be influenced by, amongst other things, changing supply and demand relationships, governmental, agricultural, commercial and trade programs and policies, national and international political and economic events and the prevailing psychological characteristics of the relevant marketplace.

**MANDATORY: I declare that I have read and understood this Risk Disclosure Statement above and "Risk Disclosure and Warnings Notice":**

Name:..... Signature:..... Date:.....

Name:..... Signature:..... Date:.....

### I. Signature and Consents

(The Natural Persons authorised by the Company's Board of Directors should sign the application Form)

I declare and confirm that:

- All information given in the Application Form is accurate, true and complete.
- I will promptly notify the Company of any changes to the information provided to the Application Form
- The funds to be deposited are not related in any way, directly or indirectly, with illegal/ criminal activities

Authorised Person Name:	
Authorised Person Signature:	



Company Seal:	
---------------	--

## J. Initial List of Required Documents

The Company's following documents should be provided:

- Certificate of incorporation or equivalent.
- Certificate of directors and secretary or equivalent.
- Certificate of registered office
- Certificate of shareholders or equivalent.
- Recent (up to 6 months) Certificate of incumbency or good standing or equivalent.
- Memorandum and Articles of Association or equivalent.
- Group Structure, if applicable.
- Latest Audited Financial Statements (if any) or Management Accounts (if any).
- Resolution of the Board of Directors of the Company for the opening of the Personal Area/Account(s) and granting authority to those who will operate it (you may use the Board of Director's Resolution below).
- If the registered shareholders act as nominees of the Beneficial Owner (see definition in Appendix B), a copy of the trust deed/agreement concluded between the nominee shareholder and the Beneficial Owner, by virtue of which the registration of the shares on the nominee shareholder's name on behalf of the Beneficial Owner has been agreed.

Board Resolution

At a meeting of the Directors of \_\_\_\_\_ (hereinafter "The Company")

Which took place on \_\_\_\_\_ the following resolution was passed:

1. That an Account is opened with Aeron Limited., the Company which has Aeron Markets as its registered brand. Aeron Limited. is registered in Mauritius with registration number 178783 and regulated by the Mauritius Financial Services Commission (License Number GB20026195).
2. That Mr./Mrs. \_\_\_\_\_ shall be and is hereby authorised and appointed to conduct the following activities in relation to the Account(s) of the Company maintained with Aeron Limited. on behalf of the Company.
  - a. Sign on behalf of the Company the enclosed Application Form.
  - b. Provide any documents and/or information required by Aeron Markets.
  - c. Utilize all available services of Aeron Markets.
  - d. Act as the point of contact.
  - e. Perform trading activities.
  - f. Make deposits (from Company's accounts) and withdrawals (to Company's accounts).
  - g. Give instructions to Aeron Markets for currency conversions.
  - h. Submit complaints/inquiries.
  - i. Provide notices to Aeron Markets as per the provisions of the Client Agreement.
  - j. Handle requests/notices from Aeron Markets as per the provisions of the Client Agreement.
  - k. Accept the Aeron Markets Client Agreement and other documentation, as amended.
3. Aeron Markets is hereby authorized to execute the instructions of the person specified above for any matter related to the Personal Area/Account(s) of the Company.
4. That this resolution is communicated to Aeron Markets and remain in force until an amending resolution shall be passed by the Board of Directors of the Company and a copy is communicated to Aeron Markets.

It is certified that the present resolution has not been modified or rescinded and is forgoing now in full force and effect, and that the Company has the power under its governing instruments and applicable Laws to take the action set forth by the foregoing resolution.

Director 1 Name: \_\_\_\_\_

Director 3 Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Signature: \_\_\_\_\_

Director 2 Name: \_\_\_\_\_

Director 4 Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Director 5 Name: \_\_\_\_\_

## Appendix A

### 1. Politically Exposed Person

“Politically exposed person” means a natural person who is or who has been entrusted with prominent public functions in the Republic or in another country, an immediate close relative of such person as well as a person known to be a close associate of such person:

Provided that, for the purpose of the present definition, ‘prominent public function’ means any of the following public functions:

- a. heads of State, heads of government, ministers and deputy or assistant ministers.
- b. members of parliament or of similar legislative bodies.
- c. members of the governing bodies of political parties.
- d. members of supreme courts, of constitutional courts or of other high-level judicial bodies, the decisions of which are not subject to further appeal, except in exceptional circumstances.
- e. members of courts of auditors or of the boards of central banks.
- f. ambassadors, chargés d'affaires and high-ranking officers in the armed forces.
- g. members of the administrative, management or supervisory bodies of State-owned enterprises.
- h. directors, deputy directors and members of the board or equivalent function of an international organisation;
- i. mayor:

Provided further that no public function referred to in points (a) to (i) shall be understood as covering middle-ranking or more junior officials.

Provided furthermore that ‘close relatives of a politically exposed person’ includes the following:

- a. the spouse, or a person considered to be equivalent to a spouse, of a politically exposed person.
- b. the children and their spouses, or persons considered to be equivalent to a spouse, of a politically exposed person.
- c. the parents of a politically exposed person.

Aeron Markets is a registered brand of Aeron Ltd, a company registered in Mauritius FSC Register number GB20026195. Aeron Ltd is authorised and regulated by the Mauritius Financial Services Commission (License Number: GB20026195). The registered address for Aeron Limited is: Suites 340-355, Barkly Wharf, Le Caudan Waterfront, P.O Box 1070, Port Louis, Republic of Mauritius. Aeron Management company number 12875643 with the registered address 85 Great Portland Street, London, W1W 7LT acts as payment agent for Aeron Limited

Provided even furthermore that persons known to be closed associates of a Politically Exposed Person means natural person:

- a. Who is known to have joint beneficial ownership of legal entities or legal arrangements, or any other close business relations, with a politically exposed person?
- b. Who has sole beneficial ownership of a legal entity or legal arrangement which is known to have been set up for the de facto benefit of a Politically Exposed Person?

## **Appendix B**

“Beneficial owner” means any natural person who ultimately owns or controls the customer and/or the natural person on whose behalf a transaction or activity is being conducted and includes at least:

- a. in the case of corporate entities:
  - i. the natural person who ultimately owns or controls a corporate entity through direct or indirect ownership of a sufficient percentage of the shares or voting rights or ownership interest in that corporate entity, including through bearer shareholdings, or through control via other means, other than a company listed on a regulated market that is subject to disclosure requirements consistent with European Union law or subject to equivalent international standards which ensure adequate transparency of ownership information.

Provided that-

- a. an indication of direct shareholding shall be a shareholding of 25% plus one share or an ownership interest of more than 25% in the customer held by a natural person: and
- b. an indication of indirect ownership shall be a shareholding of 25% plus one share or an ownership interest of more than 25% in the customer held by a corporate entity, which is under the control of a natural person, or by multiple corporate entities, which are under the control of the same natural person or persons.

Provided further that the control by other means can be verified, inter alia, based on the criteria provided for in section 142 (1) (b) and section 148 of the Companies Law.

- ii. the natural person who holds the position of senior managing official if, after having exhausted all possible means and provided there are no grounds for suspicion, no person under sub paragraph (i) of the present paragraph is identified, or if there is any doubt that the person identified is the beneficial owner:

Provided that the obliged entity shall keep record of the actions taken in order to identify the beneficial ownership under sub paragraphs (i) and (ii);

- a. in the case of trusts:

Aeron Markets is a registered brand of Aeron Ltd, a company registered in Mauritius FSC Register number GB20026195. Aeron Ltd is authorised and regulated by the Mauritius Financial Services Commission (License Number: GB20026195). The registered address for Aeron Limited is: Suites 340-355, Barkly Wharf, Le Caudan Waterfront, P.O Box 1070, Port Louis, Republic of Mauritius. Aeron Management company number 12875643 with the registered address 85 Great Portland Street, London, W1W 7LT acts as payment agent for Aeron Limited

- i. the settlor.
  - ii. the trustee or commissioner.
  - iii. the protector, if any.
  - iv. the beneficiary, or where the individual benefiting from the legal arrangement or legal entity have yet to be determined, the class of persons in whose main interest the legal arrangement or entity is set up or operates.
  - v. any other natural person exercising ultimate control over the trust by means of direct or indirect ownership or by other means; and
- b. in the case of legal entities, such as foundations, and legal arrangements similar to trusts, the natural person holding equivalent or similar positions to the person referred to in paragraph (a);

## Appendix C

### US Tax Declaration Forms –

#### Entities General Instructions:

The Foreign Account Tax Compliance Act (FATCA) is a United States (US) tax law aimed at financial institutions to prevent tax evasion by US Incorporated entities, US citizens and US tax residents through use of non-US investments or accounts. Mauritius has entered into an intergovernmental agreement (IGA) with the US to implement FATCA in Mauritius. Under the IGA, the Company acts as the reporting financial institution that will have identification and reporting obligations about FATCA. The Company intends to fully comply with FATCA obligations as determined by the FATCA regulation, the IGA and any associated guidance from the Mauritius Revenue Department. These obligations include, but are not limited to, the identification and documentation of the FATCA status of our clients. The Company shall also report to the IRD certain information on applicable clients. The IRD shall in turn report this information to the US Internal Revenue Service (US IRS).

Please consult your tax or professional adviser should you wish to understand the implications of FATCA on your circumstances. The Company is not liable for any loss you may suffer because of the company's compliance with FATCA.

For the purposes of the FATCA self-clarification:

- a. Specified U.S. Person:

The term Specified U.S. Person means a U.S. Person, other than:

- i. a corporation the stock of which is regularly traded on one or more established securities markets.
- ii. any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in (i) immediately above.

Aeron Markets is a registered brand of Aeron Ltd, a company registered in Mauritius FSC Register number GB20026195. Aeron Ltd is authorised and regulated by the Mauritius Financial Services Commission (License Number: GB20026195). The registered address for Aeron Limited is: Suites 340-355, Barkly Wharf, Le Caudan Waterfront, P.O Box 1070, Port Louis, Republic of Mauritius. Aeron Management company number 12875643 with the registered address 85 Great Portland Street, London, W1W 7LT acts as payment agent for Aeron Limited

- iii. the United States or any wholly owned agency or instrumentality thereof.
- iv. any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing.
- v. any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code, or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code.
- vi. any bank as defined in section 581 of the U.S. Internal Revenue Code.
- vii. any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code.
- viii. any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code, or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);
- ix. any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code.
- x. any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code.
- xi. a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State.
- xii. a broker as defined in section 6045(c) of the U.S. Internal Revenue Code.
- xiii. or any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

b. Nonparticipating Financial Institution:

The term "Nonparticipating Financial Institution" means a nonparticipating FFI, as that term is defined in relevant U.S. Treasury Regulations, but does not include a Mauritius Financial

Institution or other Partner Jurisdiction Financial Institution other than a Financial Institution treated as a Nonparticipating Financial Institution.

c. NFFE:

An “NFFE” means any Non-U.S. Entity that is not an FFI as defined in relevant U.S. Treasury Regulations or is an Entity described in subparagraph (e)(x) below, and also includes any Non-U.S. Entity that is established in Mauritius or another Partner Jurisdiction and that is not a Financial Institution.

d. Passive NFFE:

A “Passive NFFE” means any NFFE that is not:

- i. an Active NFFE, or
- ii. a withholding foreign partnership or withholding foreign trust pursuant to relevant U.S. Treasury Regulations.

e. Active NFFE:

An “Active NFFE” means any NFFE that meets any of the following criteria:

- i. Less than 50 percent of the NFFE’s gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50 percent of the assets held by the NFFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income.
- ii. The stock of the NFFE is regularly traded on an established securities market or the NFFE is a Related Entity of an Entity the stock of which is regularly traded on an established security market.
- iii. The NFFE is organized in a U.S. Territory and all the owners of the payee are bona fide residents of that U.S. Territory.
- iv. The NFFE is a government (other than the U.S. government), a political subdivision of such government (which, for the avoidance of doubt, includes a state, province, county, or municipality), or a public body performing a function of such government or a political subdivision thereof, a government of a U.S. Territory, an international organization, a non-U.S. central bank of issue, or an Entity wholly owned by one or more of the foregoing.
- v. Substantially all of the activities of the NFFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for NFFE status if the entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to

- acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.
- vi. The NFFE is not yet operating a business and has no prior operating history but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFFE.
  - vii. The NFFE was not a Financial Institution in the past five years and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution.
  - viii. The NFFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution.
  - ix. The NFFE is an “excepted NFFE” as described in relevant U.S. Treasury Regulations; or
  - x. The NFFE meets all of the following requirements:
    - It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence, and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare.
    - It is exempt from income tax in its jurisdiction of residence.
    - It has no shareholders or members who have a proprietary or beneficial interest in its income or assets.
    - The applicable laws of the NFFE’s jurisdiction of residence or the NFFE’s formation documents do not permit any income or assets of the NFFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFFE’s charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFFE has purchased; and
    - The applicable laws of the NFFE’s jurisdiction of residence or the NFFE’s formation documents require that, upon the NFFE’s liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFFE’s jurisdiction of residence or any political subdivision thereof.