

Assessment of Suitability and Appropriateness Questionnaire for Contracts for Differences (CFDs)

Individuals or person trading on behalf of a corporate entity.

As a retail investor you must fully complete the following questionnaire in order to be able to trade on your account, as we have certain regulatory obligations to ensure that our products and services are appropriate for you, in terms of both your risk appetite and level of knowledge and experience of our products.

If the Agreement is entered into by a representative or power of attorney, the Questionnaire should be completed and signed by the representative or power of attorney, it being understood that in completing the Questionnaire the representative or power of attorney submits information regarding the Client's investment knowledge and experience. In the case of appointing a power of attorney or representative authorized to place orders and instructions on behalf of the Client, the Questionnaire shall be filled in and signed by the power of attorney or representative, and when filling in the Questionnaire, the power of attorney or representative shall provide information on its own knowledge and experience.

QUESTIONS	
Risk Appetite	
1.	<p>Trading is associated with risk, and depending upon market movement it is possible that you could lose all the funds on your account. Are you prepared to take this risk and can you afford to do so ?</p> <p><input type="checkbox"/> I am aware of the risks associated with trading CFDs</p> <p><input type="checkbox"/> I do not accept any trading risk. I wish to terminate my account.</p>
2.	<p>What is the main purpose of having a trading account?</p> <p><input type="checkbox"/> Easy access to financial markets, and trading with surplus funds</p> <p><input type="checkbox"/> Easy access to financial markets, and trading to mitigate exchange rate risk</p> <p><input type="checkbox"/> Both of the above</p>
Experience Assessment - CFDs	
3.	<p>I have knowledge or education in derivative financial instruments (e.g., CFDs)</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>
4.	<p>I work or have worked in the financial sector in the last 5 years in a position that requires professional knowledge of financial instruments (eg. CFDs)</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>
5.	<p>Over the past two years, how many times have you traded on a non-advisory/execution-only basis leveraged financial instruments, such as CFDs?</p> <p><input type="checkbox"/> More than 20</p> <p><input type="checkbox"/> 20 or less</p>

6.	<p>(Optional) In your lifetime, how many times have you traded any type of derivative or margined financial instrument on a non-advisory/execution-only basis?</p> <p><input type="checkbox"/> More than 50</p> <p><input type="checkbox"/> 50 or less</p>
Knowledge Assessment - CFDs	
7.	<p>The investor bought a contract for difference (CFD) on gold, taking a long position. What will be the outcome of their investment if the price of gold rises?</p> <p><input type="checkbox"/> A profit</p> <p><input type="checkbox"/> A loss</p> <p><input type="checkbox"/> The price increase will not affect the investment outcome</p>
8.	<p>The result of financial leverage is:</p> <p><input type="checkbox"/> A multiplication of potential profits and losses in relation to the change in the price of the underlying instrument</p> <p><input type="checkbox"/> A limitation of potential loss</p> <p><input type="checkbox"/> A limitation of potential profit</p>
9.	<p>An investor opens a position on a CFD contract for oil with a nominal value of 5000 USD. The leverage is 10:1. What will be the required margin deposit?</p> <p><input type="checkbox"/> 500 USD</p> <p><input type="checkbox"/> 1000 USD</p> <p><input type="checkbox"/> 5000 USD</p>
10.	<p>Which of the following statements about CFDs is correct?</p> <p><input type="checkbox"/> Invest in only one asset class</p> <p><input type="checkbox"/> Use stop-loss orders</p> <p><input type="checkbox"/> Constantly monitor all open positions</p> <p><input type="checkbox"/> Answers B and C are correct</p>

The service is:

adequate

inadequate

Statement of the Client

I hereby declare that the answers I indicated to the questions contained in the above questionnaire are true. I have received information on the services to be provided under the agreed Agreement and I am aware of the investment risk related to these services. I have been informed as a result of my failure to answer the questions above. OANDA TMS cannot assess whether I have the knowledge and experience in the investment field that would allow me to properly assess the risk associated with investing in the instruments offered by OANDA TMS.

(Date)

(Signature of the Client)

Additional declaration by the Client if, in accordance with the assessment algorithm the service is inadequate for the Client

I have received information on the services to be provided on the basis of the concluded Agreement, and I have been advised of the risks associated with these services. I have been informed that trading CFDs is inadequate for me based on my lack of knowledge and experience regarding the risks involved, and therefore TMS has recommend against my trading. Despite this warning, I would like to ask TMS Brokers to conclude a Framework Agreement, and allow me to trade CFDs.

(Date)

(Signature of the Client)

OANDA TMS Brokers S.A. informs that according to the assessment made::

Contracts for differences (CFD contracts),

are in your target group.

(Date)