



PROFESSIONAL CLIENT DOCUMENTATION

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Personal Details

Please complete in BLOCK CAPITALS

Title

Mr Mrs Ms Mx

First Name

Middle Name(s):

Surname:

Please select your gender (Please tick):

Male Female Non-Binary

Please enter your date of birth (DD.MM.YYYY)

E-mail:

Country Code: Mobile Phone:

Please enter your address:

House number/name

Street

Town/City

State/Province/District

Postcode

Country

Nationality:

Please insert your UK National Insurance Number:

If non-UK citizen, please advise your Tax Identification Number:

I am not a US Citizen or a US Resident for Tax purposes:

Yes No

Professional Client Questions

a. Have you traded leverage derivatives in significant sizes, at an average frequency of ten per quarter over the previous four quarters?

- Yes No

b. Does the size of your financial instrument portfolio including cash deposits and financial instruments exceed €500k?

- Yes No

c. Do you work, or have you worked in the financial services sector for at least one year in a professional position, which requires knowledge of how 'contracts for difference' (CFDs) transactions are conducted?

- Yes No

Please provide further details, job title, organisation, position held etc:

Do you hold any educational qualifications relevant to the type of trading you wish to conduct with us?

- Yes No If yes, please state your qualifications:

Are you aware that when trading leveraged products on margin, your potential losses can exceed your initial deposit?

- Yes No

Indicate the financial instrument(s) that you have traded in within the past five years (several selections if required):

- | | |
|-----------------------------------------------------------------------|-----------------------------------------------------------|
| <input type="checkbox"/> None | <input type="checkbox"/> ETF's |
| <input type="checkbox"/> Equities | <input type="checkbox"/> OTC traded commodity derivatives |
| <input type="checkbox"/> Money market instruments | <input type="checkbox"/> Credit derivatives |
| <input type="checkbox"/> Units in a collective investment undertaking | <input type="checkbox"/> CFD's |
| <input type="checkbox"/> Financial Derivatives | <input type="checkbox"/> Exotic derivatives |
| <input type="checkbox"/> Cash settled commodity derivatives | |

How many years of experience do you have in the past 5 years dealing in (Please tick as appropriate).

	Less than 1 year	Between 1 and 3 years	Over 3 years
Equities			
Money market instruments			
Units in a collective investment undertaking			
Financial derivatives			
Cash settled commodity derivatives			
ETFs			
OTC traded commodity derivatives			
Credit Derivatives			
CFD's			
Exotic derivatives			

On average, how many trades per quarter have you made, within the past 12 months?
(Please tick as appropriate).

	Less than 3 per quarter	Between 3 and 10 per quarter	Between 11 and 30 per quarter	More than 30 per quarter
Equities				
Money market instruments				
Units in a collective investment undertaking				
Financial derivatives				
Cash settled commodity derivatives				
ETFs				
OTC traded commodity derivatives				
Credit Derivatives				
CFD's				
Exotic derivatives				

What is the average unleveraged trading volume in equities which you have conducted per month within the past twelve months?

- Less than €35K
- Between €35K – 70k
- Between €70k - €350k
- Over €350k

Please select your Employment Status:

- Employed
- Self-Employed
- Unemployed
- Student
- Retired

Are you a politically exposed person? (PEP)

A PEP is an individual who has been entrusted with a prominent public function e.g. Head of State, MP, ambassador, or high ranking officer in the armed forces.

- Yes No

Legal Documents

Please take the time to read the following documents to become familiar with your protections and procedures of Trivepro. Click the below link to view the document and then tick the box to confirm you have read it.

- Terms of Business
- Privacy Policy
- Risk Disclosure

I have read the above documents and am aware of the risks involved.

Agree

Please insert your employers name or if you are the owner, the name of your business:

Please state the Nature of Business:

Please select your Position Held:

- Owner Executive
- Senior Management
- Middle Management / Section Head
- Line / Manager
- Other

If other, please specify:

Please advise your Annual Income (USD/EUR/GBP):

Please advise how much you expect to deposit in the next twelve months?

Please select the origin of your total assets: (multiple choice)

- | | |
|-------------------------------------------------------------------|------------------------------------------------------|
| <input type="radio"/> Savings from salary | <input type="radio"/> Income from self-employment |
| <input type="radio"/> Investments, dividends, income from a trust | <input type="radio"/> Income from Business ownership |
| <input type="radio"/> Letting/Rent | <input type="radio"/> Other (please advise) |
| <input type="radio"/> Inheritance / Donation | |

To accompany your application, we require the following:

- **Proof of Identity (POI)** – one from the following - Passport, National ID card, Driving License (this document should be current and more than six months from expiry)
- **Proof of Address (POA)** – This document should be addressed to your residential address and dated within the last six months. Please select and provide one of the following documents:
 - Utility Bill
 - Bank Statement
 - Internet Bill
 - Fixed Line phone Bill
 - Tax statement
 - Rental / Tenancy Agreement
 - Alternative document issued by government/ local authority e.g., Local Tax demand

Trading Record – recent trading statement to confirm financial instrument portfolio and number of transactions over the last twelve months.

Express consent for receiving information electronically

We are required by regulation to obtain your express consent to provide you with information in an electronic, durable medium that is not paper (for example, by email).

If you do not consent to us providing information to you electronically, we will be unable to offer you an account. For the avoidance of doubt, by consenting to receiving information via electronic means, you remain entitled to provide us with specific requests for information via a reasonable alternative form of durable medium.

- I hereby consent to receive information from Trive Financial Services UK Limited via email, PDF document or by any other durable medium that is not paper
- I hereby consent to receive information not personally addressed to me via the websites that you provide me notice of

I Accept

Data protection

Your data will be processed in line with the Trive Financial Services UK Limited Privacy Notice and Privacy Policy which can be found at www.trivepro.co.uk

Marketing communication

We offer company news and market commentary which is emailed to your contact email address. Please check the box below if you would like to receive this:

I would like to receive company news and market commentary emails.

Client Name

Date (DD.MM.YYYY)

Client Signature

Risk Warning

CFDs and FX are complex instruments and come with a high risk of losing money rapidly due to leverage. You should consider whether you understand how CFDs work and whether you can afford to take the high risk of losing your money. Professional clients can lose more than they deposit. See our full Risk Disclosure and Terms of Business for further details.

November 2022