



JD Capital, Level 12 BDO Tower, 120 Albert Street, Auckland

Phone: +649 973 2060 FAX: +64 9 927 4999

E-MAIL: info@dgmfx.com

TRADER ADVISOR QUESTIONNAIRE (外汇经理调查问卷)

Dgm fx Use Only

(券商填写)

Acc Mgr: _____

Date: _____

To better serve the needs of our Trader Advisors, we request certain information about your business. Please assist us by providing that information. If certain items do not apply, please mark those items "N/A," sign and date the form. This questionnaire is a part of our required regulatory due diligence.

Personal Information 个人信息

Last Name 名: _____ First Name 姓: _____

Date of Birth 生日: ____/____/____ Gender 性别: _male _female

Home Address: 家庭住址: _____

Apartment/Suite 号: _____ City 城市: _____

State 省: _____ Zip/Postal Code 邮编: _____

Country 国家: _____ Province 省: _____

Telephone 电话: _____ Fax # 传真: _____

Passport # 护照: _____

Citizenship: New Zealand. Citizen 是否是新西兰居民 _ Yes _ No If no, what country? 如果不是是哪个国家: _____

Primary E-mail 主要邮箱: _____

Secondary E-mail 备用邮箱: _____

(Please print clearly as your e-mail address on this application form will be the medium used to contact you) 邮箱很重要, 请填写清楚

Business Information 公司信息

Business Name 公司名: _____ Business Type 类型: _____

Business Address 地址: _____

Apartment/Suite 号: _____ City 城市: _____

State 省: _____ Zip/Postal Code 邮编: _____

Country 国家: _____ Province 省: _____

Telephone 电话: _____ Ex 区号: _____ Fax # 传真: _____

Tax I.D 税号: _____

Primary E-mail 主要邮箱: _____

***Please note that all questions must be answered for the application process to proceed.

1. Years in Industry? 从业时间 ____ Years Please list all previous employers 请列出您的所有雇主名称:

你是否在其他国家的权威机构注册过, 如果是请列出权威机构的注册编号

2. Are you registered with any national regulatory authorities? If so, please list and provide any regulatory identification numbers, including any Series licenses (i.e., ASIC, FSA, NFA, SFA FSP numbers):

你有多少年代客理财或者相同的经验

3. Number of years you have managed money through a Power of Attorney or equivalent permission? ____ Years

你是否在交易市场工作过或者是一名交易员

4. Have you ever worked on a trading or execution desk? %YES %NO

5. Do you have an actual track record with your current system? How many years? %YES %NO ____ Years

你是否有真实的交易记录在你的系统当中，多少年？

6. Is your track record audited by an outside firm? %YES %NO If so, by what firm _____

你的财务是外包给其他公司进行审计的吗？

如果是请填写

7. Maximum assets you are currently trading? _____ USD

你在外汇交易当中投入的最大资金有多少？

8. Do you have your own money invested in your current program? %YES %NO

你是否会用自己的钱投入到你的规划当中？

9. Describe your trading methodology in detail. Include currencies traded, number of trades per day/week/month, stops used, maximum draw-down permitted: 详细描述你的交易方法，包括每天/周/月的交易手数，多少点的止损，最高承受风险

10. Describe your account fee structure, include all charges against customer equity: 描述你账目酬金的结构

11. Do you have a disclosure document? %YES %NO (If yes please fax a copy with your questionnaire)

你是否有过破产？

如果有请将复印证明与问卷调查表传真给我们

What measures do you take to know your customer? How do you confirm their identity? How are you certain that they understand the risks associated with currency trading? How are you certain that they are using risk capital?

你用什么方式评估你的客户？如何确定他们的身份？如何确定他们对外汇交易的风险的了解？如何确定他们正在用风险金？

你的几个账户会转入和开通？

12. How many accounts will be opened immediately or transferred from other Brokers? # _____

合计资金量有多少美元？

13. Total Equity to be transferred? \$ _____ USD

计划在三个月内可以有多少资金？

14. Projected number of accounts to be opened within three months? # _____

计划净资产多少美元？

15. Projected Equity? _____ USD

是否一部分账户会被考虑融资或投资基金

16. Would any of the accounts be considered either pools or investment funds? %YES %NO

请提供融资账户的数目并提供每一个账户

17. Please provide the number of pools and a description of each? # _____

你是否接受其他公司的管理

18. Do you conduct business with other Brokers? %YES %NO

如果有是谁？

If so, whom? _____

你会积极的去开发一些新客户吗？

19. Are you actively soliciting new customers? %YES %NO

你会在其他国家开发新客户吗？

20. Do you solicit business in other countries? %YES %NO If so, where?

你将如何去开发新客户，请提供一些描述

21. How do you solicit new accounts? Please provide descriptions of all activities.

你是否有规章或者法律方面的内容提供给你的员工使用

a. Are scripts, outlines, or written suggestions utilized for training salesmen or for general solicitations? %YES %NO

b. Do you utilize lead lists? %YES %NO If so, please describe the origin and compilation method of the list.

c. Do you use promotional material? %YES %NO If so, please specify: (ex. Print ads, TV / radio, newsletters, direct mail) 你是否使用了一定的促销手段，比如广告等

请列出相关网站的地址，哪怕他们不是有效的

d. Please list all websites and URL's whether active or not: _____

为了获得DGMFX的正式批准 你需要提供你所有的商业资料

You are required to submit all marketing materials to Decoder Global Markets for approval

在过去的两年内，你收到过多少次客户的投诉，他们的账号是，请列出他们的抱怨的细节

22. How many customer complaints have you received in the past two years? # _____

Please give details for each complaint:

如果你有更多的客户的投诉，你可以增加一页附加页

(If you have more complaints please use a additional piece of paper)

你收到过授权账户方面的投诉吗？是因为你的交易而受到的投诉

23. Have you received any customer complaints that allege excessive trading in discretionary accounts? %YES %NO

你收到过未经授权账户而被你交易所受到的抱怨或者投诉吗？

24. Have you received any complaints that allege unauthorized trading? %YES %NO if so, please provide details:

请在下面描述或者附加关于你接受正规培训的经验和相关文件

25. Please describe below and attach documentation regarding any and all disciplinary actions.

请提供三份恰当的证明和证明人的联系信息

26. Please provide three appropriate references and their contact information.

请提供三份来自你客户的证明

27. Please provide three references of people whose money you have traded

我确定，我所提供的信息完全属实，是真实的

I hereby swear or affirm that the information provided herein is known to be true or, based on my best information is believed to be true.

Signature	Date
Print Name	
DGM Service MarketsCompliance Officer	Date