



## PRODUCT ASSESSMENT QUESTIONNAIRE

Application type	Who should complete this form
Individual Client Account (excluding Essential)	The applicant
Joint Account	Each joint account applicant
Corporate Account	Applicant authorised to operate account
Trust Client Account	Main applicant intending to operate the account
ISA & SIPP Accounts	The applicant
SSAS Account	SSAS Trustee(s)

**This Product Assessment Questionnaire forms part of your application form. Before completing this form and the accompanying application form, please ensure that you have obtained and read all the information regarding the products and services provided by Saxo Capital Markets UK Ltd ("SCML") and all relevant terms and policies made available, and updated from time to time, on our website [home.saxo.uk](http://home.saxo.uk)**

**Once completed this form should be sent to Saxo Capital Markets UK Ltd at the business address below or alternatively please email a scanned copy of the completed application to [UKContracts@saxomarkets.com](mailto:UKContracts@saxomarkets.com)**

Please tick ☒ the box as appropriate

## **TARGET MARKET ASSESSMENT**

### **1. Please indicate your level of education**

- ☐ Secondary School
- ☐ College
- ☐ Undergraduate degree
- ☐ Postgraduate degree

### **2. Describe your knowledge of investing in financial markets**

- ☐ Thorough knowledge and aware of the risks
- ☐ Some knowledge and understanding of the risks involved
- ☐ No knowledge and no perception of risks involved

### **3. What is your investment objective?**

- ☐ Long term capital growth/income generation
- ☐ Short term speculative/day trading
- ☐ Hedging
- ☐ Other

### **4. How long are you planning to invest?**

- ☐ Less than 1 month
- ☐ Less than 1 year
- ☐ 1-3 years
- ☐ 3-5 years
- ☐ More than 5 years

### **5. Which of the following best describes your attitude to risk and ability to bear losses when trading?**

- ☐ Prepared to take risks to achieve better returns. Able to bear losses above the capital invested.
- ☐ Willing to take necessary risks when trading. Able to lose the capital invested.
- ☐ Unprepared to take any of the risks associated with trading. Unwilling to lose any value on investments

### **6. Please indicate how much you intend to invest {GBP}**

- |  |  |
|--|--|
| <input type="checkbox"/> <5,000            |  |
| <input type="checkbox"/> 5,000 – 10,000    | <input type="checkbox"/> 500,001 – 750,000     |
| <input type="checkbox"/> 10,001 – 50,000   | <input type="checkbox"/> 750,001 – 1,000,000   |
| <input type="checkbox"/> 50,001 – 100,000  | <input type="checkbox"/> 1,000,001 – 2,000,000 |
| <input type="checkbox"/> 100,001 – 200,000 | <input type="checkbox"/> 2,000,001 – 3,000,000 |
| <input type="checkbox"/> 200,001 – 300,000 | <input type="checkbox"/> 3,000,001 – 4,000,000 |
| <input type="checkbox"/> 300,001 – 400,000 | <input type="checkbox"/> 4,000,001 – 5,000,000 |
| <input type="checkbox"/> 400,001 – 500,000 | <input type="checkbox"/> >5,000,000            |

## **PRODUCT SELECTION**

### **7. Please indicate which products you are interested in trading with us**

- ☐ Forex/CFD (if you wish to trade Forex please complete questions 8 – 13, Additional Information and Declarations sections)
- ☐ Futures/Options (if you wish to trade Futures please complete questions 8 & 14 - 18, Additional Information and Declaration sections)
- ☐ Equities/Bonds only (if you wish to trade equities and/or Bonds only, please go directly to the Additional Information and Declarations sections)
- ☐ ETFs/ETCs/ETNs (if you wish to trade Futures please complete questions 8 & 14 - 18, Additional Information and Declaration sections)

## **EXPERIENCE AND PROFESSIONAL QUALIFICATIONS**

### **8. Do you have knowledge, experience or qualifications that give you a good understanding of leveraged products?**

- ☐ Yes
- ☐ No

## **FOREX, CFDS AND SPREAD BETS**

### **9. How many years have you been trading these products on a non-advised basis?**

- ☐ 0 - 1 year
- ☐ 1 - 5 years
- ☐ More than 5 years

### **10. What is your average number of trades per month in these products over the last 12 months on a non-advised basis? {numerical value}**

- ☐ Less than 2
- ☐ Between 2-10
- ☐ More than 10

### **11. If the margin requirement for a CFD with a notional value of 1,000 USD is 100 USD, what is the leverage?**

- ☐ 10 times
- ☐ 100 times
- ☐ No leverage

### **12. If you buy EURUSD are you:**

- ☐ Buying Dollars/selling Euros
- ☐ Buying Euros/selling Dollars
- ☐ Buying Dollars/buying Euros

**13. If you trade 1 contract for difference (CFD) on Vodafone, you would then own 1 physical share of Vodafone**

- ☐ Yes
- ☐ No

**OPTIONS, FUTURES OR ETFs/ETCS/ETNS**

**14. How many years have you traded these products on a non-advised basis?**

- ☐ 0 -1 year
- ☐ 1- 5 years
- ☐ More than 5 years

**15. What is your average number of trades per month in these products over the last 12 months on a non-advised basis?**

- ☐ Less than 1
- ☐ Between 1-10
- ☐ More than 10

**16. Futures are a leveraged product allowing you to buy/sell a particular instrument at a pre-determined price at a specified time in the future?**

- ☐ True
- ☐ False

**17. Call Options are contracts that give the purchaser the right to sell an underlying asset on or before the expiration date.**

- ☐ True
- ☐ False

**18. When trading ETFs/ETNs/ETCs, can the losses exceed the balance on your account?**

- ☐ Yes
- ☐ No

**ADDITIONAL INFORMATION**

Nationality: \_\_\_\_\_

National/Tax ID: \_\_\_\_\_

**EXPRESS CONSENT FOR RECEIVING INFORMATION ELECTRONICALLY**

As an online trading provider we deliver our services to you electronically, which is confirmed in our General Business Terms. 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).

- I hereby consent to receive information from SCML 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.

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 Accept

**DECLARATION**

I hereby declare that the information I have provided is true, accurate and correct to the best of knowledge and that I have not received and will not receive advice in regards to any of the above questions.

Name (please print): \_\_\_\_\_

Saxo account ID (if applicable): \_\_\_\_\_

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

Date: \_\_\_\_\_