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CAPITAL ADVISORS LTD

Applicant Analysis Sheet



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The respective Applicant / Beneficial Owner (“Applicant[s]”) hereby confirms to 3CCA their information, background and financial standing as follows:

Client Type	Criteria	Please Mark X
1. Individual	a. Has at least USD 1,000,000.00 in net assets ¹ , and if required by 3CCA, has provided 3CCA with documentary proof to evidence this fact or will have assets under management of at least such amount with 3CCA from the onset of the relationship. AND	<input type="checkbox"/>
	b. Is or has been in the previous two (2) years an employee in a relevant professional position of an Authorised Firm or Regulated Financial Institution OR Appears on reasonable grounds to have sufficient financial experience and understanding of relevant financial markets, products or transactions and any associated risks	<input type="checkbox"/>
		<input type="checkbox"/>
2. Undertaking ²	a. Has at least USD 1,000,000.00 as its own funds or as called-up capital, and if required by 3CCA, has provided 3CCA with documentary proof to evidence this fact or will have assets under management of at least such amount with 3CCA from the onset of the relationship. AND	<input type="checkbox"/>
	b. Appears on reasonable grounds to have sufficient financial experience and understanding of relevant financial markets, products or transactions and any associated risks	<input type="checkbox"/>
3. Personal Investment Vehicle	a. Has at least USD 1,000,000.00 in net assets, and if required by 3CCA, has provided 3CCA with documentary proof to evidence this fact or will have assets under management of at least such amount with 3CCA from the onset of the relationship. AND	<input type="checkbox"/>
	b. Is or has been in the previous two (2) years an employee in a relevant professional position of an Authorised Firm or Regulated Financial Institution OR Appears on reasonable grounds to have sufficient financial experience and understanding of relevant financial markets, products or transactions and any associated risks	<input type="checkbox"/>
		<input type="checkbox"/>
4. Collective Investment Fund/Regulated Pension Fund Investment Vehicle	An arrangement which amounts to a fund under Article 11 of the Collective Investment Law 2010 and which is not excluded under the rules made under Article 21 set out under Collective Investment Rules Section 2.1 or a regulated pension fund	<input type="checkbox"/>
5. Authorised Firm/Regulated Financial Institution	Is an authorised firm, regulated financial institution or the management company of a regulated pension fund	<input type="checkbox"/>
6. Trustee	Is a trustee of a trust which has, or had during the previous 12 months assets of at least USD 10,000,000.00	<input type="checkbox"/>
7. Single Family Office	A holder of a license under the single-family office regulations with respect to its activities carried on exclusively for the purpose of, and only in so far as it is, carrying out its duties as a single-family office	<input type="checkbox"/>



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Client Type	Criteria	Please Mark X
8. Government	Is a properly constituted government, government agency, central bank or other national monetary authority of any country or jurisdiction	<input type="checkbox"/>
9. Public Authority	Is a public authority or a state authority	<input type="checkbox"/>
10. Supra National Organisation	Is a supranational organisation whose members are either countries, central banks, or national monetary authorities	<input type="checkbox"/>
11. Authorised Market Institution	Is an authorised market institution, regulated exchange, or regulated clearing house	<input type="checkbox"/>
12. Body Corporate	Is a body corporate whose shares are listed or admitted to trading on any regulated exchange of an IOSCO member country	<input type="checkbox"/>
13. Large Undertaking	Is a large undertaking and on the date of its most recent financial statements, meets at least two of the following requirements: i. It has a balance sheet total ³ of at least USD 20,000,000.00 ii. It has a net annual turnover of at least USD 40,000,000.00 iii. It has its own funds ⁴ or called up capital ⁵ of at least USD 2,000,000.00	<input type="checkbox"/>
14. Other Institutional Investor	Institutional investor whose main activity is to invest in financial instruments including an entity dedicated to the securitization of assets or other financial transactions	<input type="checkbox"/>

Note: Items “2” and “4 to 14” mentioned above may also include a Controller, Holding Company, Subsidiary or Joint Venture Partner⁶ who meets the criteria to be classified as an “Assessed” or a “Deemed” Professional client respectively.

1. Assets which exclude the primary residence of the person and may include any assets held directly or indirectly by that person
 2. Body corporate or partnership or an incorporated association carrying on a trade or business with or without a view to profit
 3. Balance sheet total means the aggregate of the amounts shown as assets in the balance sheet before deducting both current and long-term liabilities
 4. Own funds mean cash and investments shown in the balance sheet
 5. Called up capital means all the amounts paid up or allotted in shares, less any amounts owing on allotted shares
 6. The Joint Venture Partner who is the key decision maker with respect to the business activities of the Joint Venture
- A. I have informed the Applicant / Beneficial Owner (“Applicant[s]”) that Three Comma Capital Advisors Ltd. (“3CCA”) only carries on its services for and with Professional Clients or Market Counterparties and the relevant consequences relating thereof.
- B. I have verified the following type with respect to the Applicant / Beneficial Owner:
- Assessed Professional, above 1 - 3
 Deemed Professional, above 4 - 14
 Market Counterparty (to be notified by 3CCA), above 4 - 14.



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Investment Risk Profile Questionnaire

Instructions for completion for all sections

- Individual/ Joint account – This section must be completed by all account holders based on the collective view of all account holders on Risk Capacity or in case of primary account holder, then form to be filled by primary account holder based on an undertaking from the joint account holder to the primary for decision taking. If all account holders are decision makers, then the Risk Capacity of the account holder with the lowest Risk Capacity.
- Personal Investment Vehicle – This section may be completed by a person who is authorized to complete the IRPQ based on information of the beneficial owner (beneficial owner is the person or entity that stands to gain the commercial or economic benefit of the transactions and/or bear their commercial or economic risk). If there is more than one beneficial owner, the authorized signatory may be guided to complete the IRPQ based on the collective view of all beneficial owners on Risk Capacity or based on information of the beneficial owner with the lowest Risk Capacity.
- Other corporate entity or trust – This section may be completed based on the Risk Capacity of the corporate entity or trust.

Section 1:

This Investment Risk Profiling Questionnaire is designed to help us in assessing the suitability of investment products for your advisory relationship with Three Comma Capital Advisors Ltd. Any inaccurate, outdated, or incomplete information provided may affect our assessment and as a result, the quality of our services provided to you. For regulatory purposes and to ensure that we continue to provide services to you based on your most current information, we will review the information provided to us in this document periodically. Please inform us immediately if there are any material changes to any of the information that you have provided to us in this Questionnaire.

Accordingly, each Applicant/ Beneficial owner/ Authorized Person hereby agrees with all the information provided in this Investment Risk Profiling Questionnaire and confirms that it is true and accurate in respect of each of them. Please note that this document does not constitute any offer, invitation, solicitation, comment or any guarantee to the purchase or sale of any product or services of Three Comma Capital Advisors Ltd.

A. Risk Capacity Assessment (please tick one box only)

Risk Capacity is your ability to cope with financial losses without a noticeable effect on your standard of living or course of business. The following questions intend to assess your capacity to take risks on your portfolio under the relationship with Three Comma Capital Advisors Ltd.



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Investment Time Horizon

What is your estimated investment time horizon in respect of your investments, when will you need substantial funds from your investments?

- a. Less than 1 year (0)
- b. Less than 5 years (2)
- c. More than 5 years and up to 10 years (4)
- d. More than 10 years or I/we have no time constraints (6)

Note: Investment time horizon refers to the length of time one expects to hold one's portfolio invested, without needing the money for other purposes. With a longer time horizon, one can generally afford to invest in instruments which have a higher risk rating, as there will be a long timeline to ride out volatility. Age of the client and the stage of financial life cycle should be taken into consideration while determining the investment horizon e.g., an investor in growth stage of financial cycle who is still 20 to 30 years out from retirement can have a longer investment horizon and therefore afford to invest more aggressively. A long-time horizon does not prevent having tactical positions being held for shorter time and does not mean that each of your investments need to be held for a period matching your horizon. A short time horizon does not prevent you from holding products with longer tenor that have sufficient liquidity which would allow you to exit the positions before maturity with ease. Do note that there may be periods within your time horizon during which your portfolio may underperform or outperform compared to your objectives.

Liquidity

What percentage of your total net worth are liquid investable assets?

- a. Less than 25% (0)
- b. Between 25% and 50% (2)
- c. Between 51% and 75% (4)
- d. More than 75% (6)

Note: Note: Liquid investible assets refer to assets such as cash, deposits, bonds, shares, mutual funds, structured notes, insurance policies with cash surrender value that can be surrendered at any time, or assets which can be liquidated within 3 months under normal conditions.

Free Asset Ratio

What proportion of your total financial assets is available to invest and therefore not required to cover foreseeable liabilities or specific plans?

- a. Less than 25% (0)
- b. Between 25% and 50% (2)
- c. Between 51% and 75% (4)
- d. More than 75% (6)

Stability of Income

Given the investment time horizon chosen, how stable is your income? (Excluding income from financial assets)

- a. No or insignificant net income (0)
- b. Not Stable: My net income may fluctuate significantly (2)
- c. Mostly Stable: My net income is positive despite moderate fluctuation (4)
- d. Very Stable: My net income is positive with little to no fluctuation (6)

Note: If income not derived from your portfolio (e.g., salary, rent, and pension annuities) is at risk, you might need to rely on income from your portfolio or even your capital to cover temporary deficits arising from your account. Therefore, you should take additional care with your investments.



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Your overall Risk Capacity is:

- | | | | | |
|--|---|---|--|---|
| <input type="checkbox"/> Very Low
(0-4) | <input type="checkbox"/> Low
(5-9) | <input type="checkbox"/> Average
(10-14) | <input type="checkbox"/> High
(15-19) | <input type="checkbox"/> Very High
(20-24) |
|--|---|---|--|---|

B. Risk Appetite Assessment (please tick one box only)

Risk Appetite is your comfort level in taking investment risks in the portfolio. The following questions intend to assess your comfort in taking risks on your portfolio under the advisory relationship with Three Comma Capital Advisors Ltd.

Investment Objective

The investment objectives described below reflect different reasons why people choose to invest. Which answer best describes your investment objective?

- a. Capital preservation-A preference for preservation of invested capital with returns in line with short- term money market (0) rates
- b. Conservative -A preference for capital stability and generation of returns slightly above short-term money market rate (1)
- c. Balanced- A preference for investments or investment strategies that aim to provide a balance of income and capital (2) appreciation
- d. Growth- A preference for investments or investment strategies that typically aim to provide capital appreciation through (3) active use of market opportunities, expected return above average
- e. Aggressive Growth - A preference for investments or investment strategies that seek exclusively to provide high capital (4) appreciation over time by using all market opportunities

Experience in Risky Assets

How many years of experience do you have with risk-bearing investments such as equities, derivatives and alternative investments?

- a. None (0)
- b. Less than 3 years (1)
- c. More than 3 and less than 6 years (2)
- d. Between 6 years and 15 years (3)
- e. More than 15 years (4)

Expectations from the Investment Portfolio

Do you believe over long-term (more than 5 years) riskier products with a higher potential return (e.g., equities) are more attractive than less risky products with a potential return (e.g., money market)?

- a. I do not agree (0)
- b. I do not fully agree (1)
- c. I partially agree (2)
- d. I generally agree (3)
- e. I agree (4)



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4. Perception of Risk, Capital Loss and Market fluctuation

	Scenario A <input type="checkbox"/>	Scenario B <input type="checkbox"/>	Scenario C* <input type="checkbox"/>	Scenario D* <input type="checkbox"/>	Scenario E* <input type="checkbox"/>
Target annual return over the long run	Risk Free rate (RF)	RF + (1%)	RF + (2%-3%)	RF+ (4%-5%)	RF +(≥5%)
Range of annual returns^ under normal market circumstances	-3% to 6%	-6% to 11%	-14% to 23%	-23% to 36%	-39% to 58%
	(0)	(1)	(2)	(3)	(4)

Please bear in mind that the opportunity to make higher returns typically requires a higher ability and willingness to assume a greater amount of risk, which in turn increases the possibility of losses. It is therefore important to consider the returns that you wish to achieve considering the risks you are prepared to take.

[^] In the situation where highly unfavourable market circumstances occur (e.g., a financial crisis, covid), the potential loss in each of the scenarios described could be worse than the figures indicated above, including a decline of up to 100%.

* Scenarios C, D and E are expected to use leverage in investment

Loss Sensitivity

How would you react if your portfolio were to decrease by 30%?

- a. Reduce all or most of existing investment positions (0)
- b. Reduce some investment positions (1)
- c. Maintain current positions (2)
- d. Increase some investment positions (3)
- e. Increase all or most of existing investment positions (4)

Investment Experience in Leverage

Do you have experience of using leverage with investments? Do you intend to use leverage when investing?

- a. No, I do not have experience using leverage, I do not intend to use leverage when investing (0)
- b. No, I do not have experience using leverage, but I do intend to use leverage in the future (2)
- c. Yes, I have experience with leverage, but not intend to use leverage when investing in the future (4)
- d. Yes, I have experience using leverage, and I intend to use leverage when investing in the future (6)



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Important Notice for customers who intend to use Leverage against the Portfolio

Leveraging a portfolio significantly increases its risk profile. The degree of the increase in risk level will depend on the amount of borrowing in comparison to the assets in your portfolio. As a result of this magnification effect, using leverage for investment purposes carries a greater risk of loss than purchasing investments with cash and may also lead to losses that substantially exceed the original capital invested. Therefore, using leverage is not suitable for customers who cannot bear higher risk. Other factors such as liquidity and volatility of your investments should also be considered, as leveraging investments that are illiquid and volatile could lead to significantly higher losses.

Leverage investments are subject to market risk, if markets fall significantly, then financial institutions (leverage providers) may forcefully liquidate the investment. We would like to draw your attention to the risks of leverage as described in the general risk disclosure statement provided to you. Please also note that the granting of any leverage is subject to the discretion of the custodian bank and hence may be reduced or withdrawn at any point in time at the sole discretion of the Custodian Bank.

Margin Call: Leverage investments are subject to margin calls from the leverage provider to continue the loan at agreed levels. Mark-to-market calculations are done daily to ask for additional funds from the investor who has availed a loan if the value of the underlying investment drops below the margin call trigger level. In such a scenario, the leverage provider will ask the investor to bring in additional funds or collateral as per leverage terms. If the investor does not get additional funds or collateral as per margin call notice, the leverage provider reserves the right to liquidate the underlying collateral and recover the loan which may result in full or partial loss of investment for the investor.

Your overall Risk Appetite is:

<input type="checkbox"/> Very Low (0-4)	<input type="checkbox"/> Low (5-9)	<input type="checkbox"/> Average (10-14)	<input type="checkbox"/> High (15-19)	<input type="checkbox"/> Very High (20-24)
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C. Overall Risk Tolerance Assessment (please tick one box only)

Your overall Risk Tolerance is (Lower of the Risk Capacity/ Risk Appetite):

<input type="checkbox"/> Very Low	<input type="checkbox"/> Low	<input type="checkbox"/> Average	<input type="checkbox"/> High	<input type="checkbox"/> Very High
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D. Investment Product Knowledge and Experience

List the length of time active in financial markets, and Institution and markets in which the Applicant / Beneficial Owner / Authorized Person has invested. Provide documentary evidence to support – for example trade confirmations or Investment/portfolio statements.

Category	Product	Knowledge(e.g.,relevant work experience/ education/ investment experience)	Experience (Have executed in past 3 years with any financial institution, please provide other details in section G)				prior to 3 years (Please provide details in section H)
		Yes No	Yes No	Average Transaction Size	Frequency of Transaction		Yes No
a	Deposits (including Foreign Currency Deposits)	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	[<input type="checkbox"/>
a	Money Market Funds	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	[<input type="checkbox"/>
a	Foreign Exchange (e.g., Spot)	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	[<input type="checkbox"/>
b	Short Term debt instruments (e.g., Commercial paper, Certificate of Deposits, Treasury/ Government Bills)	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	[<input type="checkbox"/>
b	Plain Vanilla Investment Grade Bonds	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	[<input type="checkbox"/>
b	Investment Grade Bond Funds/Exchange Traded Funds	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	[<input type="checkbox"/>
c	Equity Funds, Multi-asset Funds, High-yield Bond Funds/ Exchange Traded Funds	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	[<input type="checkbox"/>
c	Precious Metals/ Commodities	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	[<input type="checkbox"/>
c	Structured Products: Capital protection	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	[<input type="checkbox"/>



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d	Plain Vanilla Options (e.g., call, put options)	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	[<input type="checkbox"/>
d	Dual Currency Investments	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	[<input type="checkbox"/>
d	Structured Notes: Yield enhancement)	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	[<input type="checkbox"/>
e	Structured Notes (Participation Notes/ Bonus Notes)	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	[<input type="checkbox"/>
e	Private Equity Funds	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	[<input type="checkbox"/>
e	Hedge Funds	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	[<input type="checkbox"/>

| Name of Applicant / Beneficial Owner /
Authorized Person

Signature of the Applicant / Beneficial Owner /
Authorized Person



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Client Profile (filled by Relationship Manager):

A. Provide details of the Applicant's / Beneficial Owner / Authorized person's relevant educational background:

B .Provide details of the Applicant's / Beneficial Owner / Authorized person's employment experience:

C. Provide other details of the Applicant's / Beneficial Owner / Authorized person's experience (markets, banks/institutions etc.):

D. Provide details of the Applicant's / Beneficial Owner / Authorized person's experience in products prior to 3yrs (e.g., years of experience, no of transactions, markets, banks/institutions etc.):

E. Provide details of the Applicant's / Beneficial Owner / Authorized person's experience in leverage together with details and examples:



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I am satisfied from above analysis that the Applicant's / Beneficial Owner / Authorized person:

- A. Provide details of the Applicant's / Beneficial Owner / Authorized person's relevant educational background:
- B .Provide details of the Applicant's / Beneficial Owner / Authorized person's employment experience:
- C. Provide other details of the Applicant's / Beneficial Owner / Authorized person's experience (markets, banks/institutions etc.):
- D. Provide details of the Applicant's / Beneficial Owner / Authorized person's experience in products prior to 3yrs (e.g., years of experience, no of transactions, markets, banks/institutions etc.):
- E. Provide details of the Applicant's / Beneficial Owner / Authorized person's experience in leverage together with details and examples:

Accordingly, in my opinion, the Applicant / Beneficial Owner / Authorized person meets the criteria of a Professional Client as specified in the DFSA Conduct of Business Model.

| Name of Relationship Manager/

Place:

Signature of the Relationship Manager

Date:



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Section 2: Customer Profiling Acknowledgement:

A. Investment Profile derived from your answers.

Investment Profile	Capital Preservation <input type="checkbox"/>	Conservative <input type="checkbox"/>	Balanced <input type="checkbox"/>	Growth <input type="checkbox"/>	Aggressive <input type="checkbox"/>
Investment Objectives	Aim to preserve capital.	Aim to achieve returns slightly above the short-term money market rate. Capital Stability.	Aim to provide a balance of income and capital appreciation.	Aim to achieve capital appreciation through active use of market opportunities, expected return above average.	Aim to achieve high capital appreciation over time by using all market opportunities.
	You want to minimize the risk of loss, with potentially limited return.	You are prepared to face a low to medium level of fluctuation and risk with your invested capital over the short to medium term.	You are prepared to face a medium level of fluctuation and volatility. Moderate risk to principal and return over the medium to long term.	You are prepared to face a higher level of fluctuation and risk with your invested capital over the medium to long term.	You are prepared to accept a significant level of fluctuation and volatility with significant risk to principal and expected return.
Product Characteristics	Portfolios tend to be invested conservatively in short term, high credit quality and highly liquid investments e.g., cash, deposits, and money market securities/funds.	Products have foreseeable returns and low sensitivity to market risk. Low risk exposure to interest rates, credit spreads, and other risk factors. E.g. US treasury bills, short tenor plain vanilla Investment Grade Bonds, Investment Grade Bond Funds	Products have variability in returns and are sensitive to market risk due to greater exposure to interest rates, credit spreads and other risk factors. E.g., Bond Funds, Multi asset allocation funds, Dual currency investments for major currencies, developed market Equities, equity Funds/ETFs investing in developed markets, capital protected structured products and margin trade on foreign exchange with the potential for significant loss.	Products returns have expected to experience extreme variability due to substantial exposure to interest rates, credit spreads and other risk factors. Greater price volatility due to a lower degree of liquidity in the market/ greater sensitivity to changing market scenarios. E.g., High Yield Bonds/ Bond Funds, Bonds with special features such as bail in, perpetual bonds, synthetic ETFs, Fixed Coupon Notes, Preferred Shares, other non-principal protected structured products and margin trade on foreign exchange with the potential for significant loss.	Products expected to have a significant investment risk and very high sensitivity to various market scenarios. Potential for very high returns with exposure to very wide fluctuations in underlying investments over the short, medium, and long term. Investments can fluctuate widely and may fall substantially below the initial invested value; significant or total capital loss can occur. Investment may have infinite downside risk. E.g., Accumulators, Decumulators, Credit Linked Notes, Hedge funds, Private Equity Funds, Margin trades on commodities, Structured Products such as Reverse Convertibles, Memory Coupon Notes, Bonus Enhanced Notes.
Leverage*	Do not intend to use leverage.*	Do not intend to use leverage.*	Intend to use a low level of leverage (\leq 30% LTV) to enhance returns.	Intend to use high levels of leverage (\geq 50%) to enhance returns.	Intend to use a moderate level of leverage (30%-50% LTV) to enhance returns.

*Although the description includes an indicative list of typical products for the various portfolios illustrated, your portfolio may include lower and/or higher risk products for diversification and/or hedging purposes.



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B. Confirmation of your Investment Profile

Your chosen investment profile is recorded as above. If you wish to choose an Investment Profile with a lower risk and return profile that you consider better reflects your risk appetite and investment circumstances, please consult your Relationship Manager. Please note that you can only choose an alternative Profile that is more conservative than indicated in section A above.

- I/We hereby acknowledge that the Investment Profile in Section A above is consistent with my/our investment risk tolerance requirements and investment objectives.
- The investment profile in Section A above is not consistent with my/our investment risk tolerance requirements and/or investment objective. I/We hereby select an Investment Profile which is:

Investment Profile	<input type="checkbox"/> Capital Preservation	<input type="checkbox"/> Conservative	<input type="checkbox"/> Balanced	<input type="checkbox"/> Growth
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C. Other Information

Do you want to trade in derivatives and products with embedded derivatives (e.g., structured products, dual currency investments, plain vanilla options, exotic options, accumulators, swaps/forwards), hedge funds and /or private equities?

- Yes, I/We declare that I/We have received, read, and understood the risks of investing in derivatives and structured products as stated in the General Risk Disclosures.

No



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C. Client Acknowledgement

By providing the information and details set out in this Investment Risk Profile Questionnaire I/We acknowledge that:

- I/We have understood the details and importance and that my/our responses above are true and correct;
- I/We confirm that Three Comma Capital Advisors Limited may rely on information provided by me/us to determine my/our risk profiles and the type of investment products that would be suitable for me/us;
- I/We hereby undertake to notify Three Comma Capital Advisors Limited. (“3CCA”) when there are any changes to my/our investment circumstances affecting my/our Investment Profile. I/we understand that Three Comma Capital Advisors Limited (“3CCA”) will continue to rely on information provided in the most recent Investment Risk Profiling Questionnaire on its records until Three Comma Capital Advisors Limited (“3CCA”) has received an updated version from me/us;
- I/We confirm that the answers to this Investment Risk Profiling Questionnaire have been provided according to the instructions for completion and that the answers may be relied on by Three Comma Capital Advisors Limited. (“3CCA”) in assessing the suitability of investment products for the advisory relationship, notwithstanding that other account holders/authorized persons/ beneficial owners may individually have different investment knowledge and experience, risk capacity, risk tolerance, financial situation, and investment objectives.
- I/We have also read, understood, and agreed with all the details including the Important Notice stated in this Investment Risk Profile Questionnaire.
- I/We agree to the Final Investment Risk Profile and confirm that the same is correct in describing my/ our risk capacity, investment knowledge & and experience, financial situation, and investment objectives in relation to the advisory and/or asset management relationship with Three Comma Capital Advisors Limited.
- I/We understand that any inaccurate or incomplete information that I/we provide or have provided may affect Three Comma Capital Advisors Limited. (“3CCA”) suitability assessment of the investment products and services to be offered to me/us.

Signed for and on behalf of
THREE COMMA CAPITAL ADVISORS LTD

Authorised Signature

Name

Place / Date

Signed for and on behalf of (Client)

Authorised Signature

Name

Place / Date



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Appendix 1

Product Risk Matching

Three Comma Capital Advisors Ltd. (“3CCA”) uses a framework to support its Relationship Managers in recommending products to you. The products are classified into 5 risk rating categories and the table below shows which categories are generally matched for the 5 Investment Profiles.

		Name					
		1	2	3	4	5	
Investment Profile	Capital Preservation	❖					
	Conservative	❖	❖				
	Balanced	❖	❖	❖			
	Growth	❖	❖	❖	❖		
	Aggressive	❖	❖	❖	❖	❖	

❖ Match

Please note that if you wish to invest in products that do not fit in your risk profile for any specific purposes such as diversification/ hedging, it may be considered on an exceptional basis subject to a detailed discussion with your RM to understand the risks and the impact on your portfolio.

Investment Profile Definition

Capital Preservation	Aim to preserve capital.
Conservative	Aim to achieve returns slightly above short-term money market rate. Capital Stability.
Balanced	Aim to provide a balance of income and capital appreciation.
Growth	Aim to achieve capital appreciation through active use of market opportunities, expected return above average.
Aggressive	Aim to achieve high capital appreciation over time by using all market opportunities.

Product Risk Rating Definition

Product Risk Rating is determined based on one or a combination of the following factors:

Product Risk Rating 1	<ul style="list-style-type: none">▪ Very low probability of loss of principal▪ Very limited mark-to-market volatility▪ Low product complexity
Product Risk Rating 2	<ul style="list-style-type: none">▪ Low potential loss of principal▪ Limited mark-to-market volatility▪ Low product complexity
Product Risk Rating 3	<ul style="list-style-type: none">▪ Possible material loss of principal▪ Moderate mark-to-market volatility▪ Mostly low product complexity
Product Risk Rating 4	<ul style="list-style-type: none">▪ Significant risk with up to 100% loss of principal▪ High mark to market volatility▪ Moderate product complexity
Product Risk Rating 5	<ul style="list-style-type: none">▪ Significant risk with up to or more than 100% loss of principal▪ Extremely high mark to market volatility▪ High product complexity



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Description

As an illustration, you will find below a list of some products with their corresponding product risk ratings, please note that this is not an exhaustive list of products and the assigned risk ratings may change over time. The examples are general guidelines only.

Common Product Types	Product Risk Rating	Dependencies
Fixed Income Instruments	1-5	Issue rating and tenor
Mutual Funds	1-5	Underlying asset class and geographic / sector concentration
Equities	3-5	Classification as per MSCI's global investable market indices and geographic concentration
Structured Notes and Derivatives	3-5	Issuer rating, underlying obligation, and tenor
Commodities and Forex	3-5	Geopolitical risk, Macroeconomic Risk
Hedge Funds, Private Equity investments, REITs	5	Nil

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Regulated by Dubai Financial Services Authority (DFSA)