

Annex C

Supplementary Finserv Questionnaire

1. Client suitability and appropriateness checks			
1.1 What services do you provide and in relation to what type of securities?			
1.2 Do you profile potential clients into retail and professional clients? YES NO If the answer is "YES" what are the assessment criteria?			
1.3 Do you offer investment advice in relation to CFD's (Contracts for Difference)? YES NO If you answered "YES" and unless disclosed on your website please provide the percentage loss rate for CFD trading by clients.			
1.4 Please provide copies of the relevant questionnaire(s) that the prospective investor is asked to complete before investing. <table border="1" data-bbox="204 1238 1385 1435"><tr><td>Attached/URL</td></tr><tr><td>Yes</td></tr><tr><td>NO</td></tr></table>	Attached/URL	Yes	NO
Attached/URL			
Yes			
NO			
1.5 When and how is suitability testing performed?			
1.6 What are the factors that you seek to confirm through the suitability test?			
1.7 What percentage of investors fail a suitability test?			

1.8 When and how is the **appropriateness** assessment performed?

1.9 What are the factors that you seek to confirm through the **appropriateness** test?

1.10 What percentage of investors fail an **appropriateness** test?

1.11 Are demo accounts available to potential investors? YES NO

2. Marketing practices & Distribution Channels

2.1 What product/service do you market?

2.2 Do you have a marketing strategy? YES NO

If the answer is "YES" please briefly describe the marketing strategy?

2.3 Who adopts the marketing strategy?

2.4 Do you have the code of conduct/ethics policy? YES NO

If "YES"yes please provide this document

2.5 What is the target audience?

2.6 Do you operate a telesales channel, e.g. to reach out to investors to act on certain investment opportunities? YES NO

2.7 Do you use cold calling? YES NO

2.8 If you answered “YES” to 2.6 or 2.7, please confirm whether the following methods are exercised towards investors:

- pretext urgency,
- guaranteeing certain returns, or
- using other persuasive/ emotional, rather than consultative method

2.9 Do you outsource marketing/sales/customer support? YES NO

If Yes, provide details of the organisation(s) to which you outsource these functions in the table below

Service outsourced	Legal name	Registration number	Country of Incorporation	Country of operation

2.10 Do you require your agents (including parties mentioned in 2.9, if any) to comply with the code of conduct/ethics policy? YES NO NOT APPLICABLE

If answer is YES please describe how is such compliance ensured?

3. Customer service

3.1 Please specify which languages are supported by the customer care team(s)?

3.2 Which payment options are available to investors?

3.2 Are payment suppliers licenced? YES NO

3.3 What is the average fee and processing time of a withdrawal request?

4. Reliability of data and trade executions

4.1 Who are the data suppliers and what data is provided?

4.2. Can anyone else rather than the investor themselves gain access to the service and/or place an order in your system (e.g. via a 3rd party interface compatible with your system)? YES NO

If the answer is "YES" please provide further details.

4.3 How do you ensure best order/trade execution?

5. Other information

5.1 Are own funds and clients funds segregated? YES NO

