

Adequacy assessment questionnaire

Natural person or natural person conducting business activity

Please fill in the Questionnaire containing information necessary for OANDA TMS Brokers S.A. (hereinafter: “OANDA TMS”) to determine whether you have experience and knowledge in the field of investments necessary for the conscious taking of risks related to the offered or purchased investment product or service. This information will be the basis for assessing whether the investment service is adequate for you. The reason for the adequacy assessment is to enable OANDA TMS to act in the best interest of the Client. The assessment of service adequacy concerns the Client. Before signing a Framework Agreement with OANDA TMS, the Client shall be obliged to fill in the Questionnaire. If the Agreement is concluded by a proxy authorized to conclude the Agreement, the Questionnaire should be completed and signed by the proxy, with the reservation that the proxy, when completing the Questionnaire, provides information on the Client's knowledge and experience in the field of investment. In the case of appointing a proxy authorized to place orders and instructions on behalf of the Client, the Questionnaire shall be filled in and signed by the proxy, and when filling in the Questionnaire, the proxy shall provide information on its own knowledge and experience in the field of investment.

If you fail to provide us with such information, or if the information provided by you regarding your investment knowledge and experience is not sufficient to determine whether the service or product envisaged is appropriate for you, we will warn you. However, this shall not prevent you from entering into an Agreement with OANDA TMS if you apply to us to enter into such an Agreement in spite of a warning and we accept your application. OANDA TMS may refuse to conclude an agreement with the Client if it considers that the service provided would be significantly inadequate for the Client.

QUESTIONS	
1	<p>Do you have knowledge or education acquired through:</p> <ul style="list-style-type: none"> • participation in on-line courses, • site training, • using the educational materials, <p>or activities related to investing in financial instruments:</p> <p><input type="checkbox"/> Yes, in the scope of financial instruments outside organized trading (e.g. CFDs) and financial instruments in organized trading (e.g. shares or futures),</p> <p><input type="checkbox"/> Yes, for financial instruments outside organized trading (e.g. CFDs),</p> <p><input type="checkbox"/> Yes, in the scope of financial instruments in organized trading (e.g. shares, futures),</p> <p><input type="checkbox"/> I have no knowledge or education in financial instruments.</p>
2	<p>I work or have worked in the financial sector in a position that requires professional knowledge in financial instruments:</p> <p><input type="checkbox"/> Yes, with respect to financial instruments in organized trading (e.g. shares or futures) and financial instruments outside organized trading (e.g. CFDs),</p> <p><input type="checkbox"/> Yes, for financial instruments outside organized trading (e.g. CFDs),</p> <p><input type="checkbox"/> Yes, in the scope of financial instruments in organized trading (e.g. shares or futures),</p> <p><input type="checkbox"/> I did not work in the financial sector or I worked below one year.</p>
3	<p>What experience do you have in the field of handling transaction systems enabling transactions on financial instruments:</p> <p><input type="checkbox"/> I used a demo version;</p> <p><input type="checkbox"/> I used a real version;</p> <p><input type="checkbox"/> I do not have experience.</p>
4	<p>How many transactions have you made on organized market instruments such as shares, futures?</p> <p><input type="checkbox"/> more than 15;</p> <p><input type="checkbox"/> 15 or less;</p> <p><input type="checkbox"/> 0.</p>
5	<p>How many transactions have you made on financial instruments except for organized trading using financial leverage (e.g. CFD) during the last year?</p>

	<input type="checkbox"/> more than 15; <input type="checkbox"/> 15 or less; <input type="checkbox"/> 0.
6	<p><i>(please answer in the case of selection in question No. 5 of an answer other than "0")</i> What amount of own funds have you invested in your brokerage account:</p> <input type="checkbox"/> above 12 000 EUR; <input type="checkbox"/> from 5 000 to 12 000 EUR; <input type="checkbox"/> to 5 000 EUR.
7	<p><i>(please answer in the case of selection in question No. 5 of an answer other than "0")</i> The transactions I carried out were:</p> <input type="checkbox"/> investment (use of changes in prices of financial instruments to generate a profit); <input type="checkbox"/> hedging nature (hedging transactions and cash flows); <input type="checkbox"/> saving nature.
8	<p>An order which, in principle, consists in closing an open position in order to limit losses is an order?</p> <input type="checkbox"/> stop loss; <input type="checkbox"/> take profit; <input type="checkbox"/> I do not know.
9	<p>Would you describe investment risk as (please tick one):</p> <input type="checkbox"/> possibilities of achieving a result from the investment other than expected, <input type="checkbox"/> the inability to sell financial instruments, <input type="checkbox"/> I don't know.
10	<p>After the Investor bought a CFD contract based on the EUR/USD spot rate, the EUR currency strengthened in relation to USD (the rate increased). What will be the effect of this transaction if a position is closed?</p> <input type="checkbox"/> the investor generates profit; <input type="checkbox"/> the investor incurs a loss; <input type="checkbox"/> the investor does not generate profit and does not incur a loss.
11	<p>Are you aware that investing in financial instruments using leverage may be associated with a loss?</p> <input type="checkbox"/> Yes; <input type="checkbox"/> No.
12	<p>What is the main purpose of your investment? <i>(please tick one of the answers that best reflects the purpose)</i></p> <input type="checkbox"/> investing in financial surpluses and achieving profitability above that of bank deposits, while accepting the risk of incurring losses; <input type="checkbox"/> investing in surplus funds and achieving profitability at the level of a bank deposit, without accepting the risk of incurring losses.
13	<p>How would you describe your own degree of investment risk acceptance:</p> <input type="checkbox"/> I accept low investment risk, <input type="checkbox"/> I accept the risk of a moderate decline in the value of investments, <input type="checkbox"/> I accept the investment risk and the possibility of incurring significant losses.

14	<p>Please indicate the sources of your permanent financial liabilities (this may affect the amount of funds that you will be able to spend on investments) (you can choose more than one answer):</p> <p><input type="checkbox"/> Only running costs,</p> <p><input type="checkbox"/> Mortgage, credit, loan,</p> <p><input type="checkbox"/> Alimony,</p> <p><input type="checkbox"/> Others.</p>
15	<p>What proportion of free funds do you intend to invest in the OANDA TMS investment account?</p> <p><input type="checkbox"/> not more than 5%;</p> <p><input type="checkbox"/> 6% - 30%;</p> <p><input type="checkbox"/> 31% -60%;</p> <p><input type="checkbox"/> over 60% savings.</p>
16	<p>What part of the invested capital are you willing to accept? (please tick one)</p> <p><input type="checkbox"/> over 20%</p> <p><input type="checkbox"/> 11% - 20%</p> <p><input type="checkbox"/> 6% -10%</p> <p><input type="checkbox"/> Not more than 5%</p>

Total points: __ the service is:

adequate (11 - 32)

inadequate (0 - 10)

(date, signature of OANDA TMS employee)

Statement of the Client

I hereby declare that the answers given by me to the above Questionnaire are accurate. I have received information on the services to be provided on the basis of the concluded Agreement, and I have been acquainted with the investment risk associated with these services. I have been informed that as a result of my failure to answer the above questions, OANDA TMS is not able to assess whether I have the knowledge and experience in the field of investments allowing me to independently assess the risk associated with investing in financial instruments offered by OANDA TMS.

OANDA TMS informs that the service provided by OANDA TMS may not meet your individual needs.

(Date)

(Signature of the Client)

Additional declaration by the Client if, in accordance with the assessment algorithm, the service is inadequate for the Client

I have received information on the services to be provided on the basis of the concluded Agreement, and I have been acquainted with the investment risk associated with these services. I have been informed that the service to be provided on the basis of the Agreement concluded is inadequate, as it involves a risk which is not commensurate with my level of knowledge and experience in the field of investment. Despite this warning, I would like to ask OANDA TMS to conclude a Framework Agreement.

(Date)

(Signature of the Client)