

# Change of Client Categorisation

## Request Form

Effective Date: 11<sup>th</sup> March 2019

### **Change of Client Categorisation Request**

Please read the following carefully and complete the request form on the following page. Please submit your request for client re-categorisation by e-mail to [support.trade.uk@z.com](mailto:support.trade.uk@z.com).

When you apply to open a trading account with us, we are required by the Financial Conduct Authority (FCA) to categorise you, in accordance with the criteria set out in the FCA rules, either as a Retail Client, a Professional Client or as an Eligible Counterparty. Once you have been categorised, you are entitled to request a different categorisation at any time, including requesting to downgrade your account, however, we are under no obligation to comply with your request.

If you wish to request a different categorisation, please complete the required fields below. Upon receipt of your request, if we decide to consider it we may be required by regulations to conduct an assessment of the information we have on file for you (and may ask you for further information) and we will notify you regarding our decision.

Any money you transfer to us as a Professional Client will not be held as "client money" under the FCA's client money rules. Any money that you transfer to us is treated as a full transfer to us in order to secure or cover your present, future, actual, contingent or prospective obligations.

For each client category, varying levels of protection and treatment apply. Before submitting your request for re-categorisation, please ensure that you read, understand and agree to the [Client Categorisation Notice](#) which can be found on our website.

### **Language of Communications**

All GMO-Z.com Trade UK Limited legal documents are available in English and can be found on the English version of our corporate website. Translations into other languages are provided for referential purposes only. For the avoidance of doubt, the English version shall prevail in the event of any inconsistencies or ambiguities.

**Change of Client Categorisation Request Form**

Live Account in the name of:		
Live Account Number:		
Please select your requested categorisation by placing an "X" in the relevant box:	Retail Client	
	Professional Client	
	Eligible Counterparty	

If you have selected "Professional Client" above, please select two or more of the following qualification criteria which apply to you:		
Elective Professional Client:	<p>You have carried out transactions, in significant size, on a relevant financial product at an average frequency of 10 per quarter over the previous four quarters.</p> <p><b>*Please submit proof of transactions such as an account ledger issued during the latest year (this is not required for periods of time where you have been trading with Z.com Trade).</b></p>	
	<p>The size of your financial instrument portfolio, defined as including cash deposits and financial instruments, exceeds EUR 500,000</p> <p><b>*Please submit proof of your investment portfolio such as a bank statement or an account ledger issued within the past month.</b></p>	
	<p>You work or have worked in the financial sector for at least one year in a professional position, which requires knowledge of the transactions or services envisaged.</p> <p><b>*Please provide below the detailed description of your professional experience Company/Department/Period of employment/Job title or position) and how it gave you exposure to derivatives or leveraged FX and CFD trading services.</b></p>	

<b>Details of Professional Experience</b>	Company Name 1:
	Position and description of responsibilities at company:
	Period of employment at company:
	Company Name 2 (if applicable):
	Position and description of responsibilities at company:
	Period of employment at company:

I/we hereby confirm that I/we have read and understood the Client Categorisation Notice and understand the implications of my/our requested categorisation, including losing some of the protection afforded to me/us if moving from a Retail to a Professional Client. Some of the protection that will be lost as a Professional client include, but are not limited to:

- Not being eligible to seek the services of the Financial Ombudsman (FOS) and may not be eligible for compensation under the Financial Services Compensation Scheme (FSCS) as your funds are not held in segregated client accounts.
- Communications, including financial promotions, for Professional Clients are not subject to all of the requirements imposed on firms communicating with Retail Clients

I/we formally request that GMO–Z.com Trade UK Ltd reclassify me/us to my/our preferred client categorisation as above.

Signature (Individual):

Date:

On behalf of (Company name):

(if applicable)

Full Name:

Contact Email Address:

Contact Telephone Number:

Any other information you feel is relevant to your re-categorisation request: