



QUANTIC

## INVESTMENT SUITABILITY QUESTIONNAIRE

Individual Applicant

version: 1.7

November 2018

## Investment Suitability Questionnaire

Thank you for considering opening an account with Quantic - a trading name of AFX Capital Markets Ltd.

As part of your application, and to fulfil our regulatory obligations, this Questionnaire has been designed to enable us to gain a better understanding of you and your tolerance for investment risk, to assess whether the products we offer are ones which may be suitable for you.

It is essential that you complete this fully, honestly and to the best of your knowledge. Please consider each question carefully selecting the answer which most closely fits your current circumstances. Should you have any questions regarding the meaning of the questions asked, please contact us prior to answering as it is important to us and for you, that we get the most accurate information. It is also important that should an account be opened for you, that you updated us to any changes which may affect the way you would complete this questionnaire to ensure the products continued suitability.

Instructions for completing this form:

- Please complete every section of this form.
- Where questions provide options, please select the answer(s) which most accurately reflect your situation.
- Take your time and think about each question carefully.
- Please sign, date and return to [backoffice@quantic-am.com](mailto:backoffice@quantic-am.com) on completion.
- We may contact you to clarify some of your answers if necessary. Please do not be concerned as this is part of our normal procedure.

## Section 1: Basic Information

Title:

Mr.  Mrs.  Miss.  Ms.  Other (please specify):

First Name:

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Surname:

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Country of Residence:

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Passport/ID No and Country of Issue:

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Email Address:

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## Section 2: Income

Where currency is quoted as Euro's – equivalent local currency should be calculated at current exchange rate.

Q1. What is your regular net annual income?

- Less than €30,000
- Between €30,000 and €50,000
- Between €50,001 and €100,000
- More than €100,000

Q2. What is the total value of your assets?  
(Asset value – Loans – Remaining mortgage)

- Less than €100,000
- Between €100,000 and €300,000
- Between €300,001 and €500,000
- More than €500,000

Q3. What percentage of your total income do you currently save?

- Less than 2%
- Between 2% and 7%
- Between 7% and 12%
- More than 12%

Q4. What do you expect to happen to your earned income over the next five years?

- Decrease
- Rise in line with inflation
- Rise modestly above inflation
- Rise significantly above inflation

Q5. How will you fund your portfolio?

- Savings
- Portion of Salary
- Inheritance
- Return from other Investments
- Other (please specify)

Q6. What percentage of your total assets would your portfolio with AFX be?

- Less than 20%
- Between 20% and 40%
- Between 40% and 60%
- More than 60%

### Section 3: Risk Tolerance & Investment Horizon

Q7. How would you describe your risk tolerance\*?

\*The degree of variability in investment returns that an individual is willing to withstand. Risk tolerance is an important component in investing. An individual should have a realistic understanding of his or her ability and willingness to stomach large swings in the value of his or her investments.

- no exposure to market risk
- low exposure to market risk
- moderate exposure to market risk
- high exposure to market risk

Q8. What are your Investment Objectives?

- Preserve Capital
- A Regular Stable Income
- Medium Term Growth
- High performance achieved by speculative actions.

Q9. What is your Investment Time Horizon (Time to reach your goal)?

- short term (0 – 3 Years)
- Medium (4 – 6 Years)
- Long (7 Years +)
- Multi-stage (more than one goal e.g. purchase new home in x years, retire in y years)

Q10. If you answered Multi-stage in the previous question, how long will it take to reach your primary goal?

- Within 0 – 3 years
- Between 3 Years and 8 Years
- Between 8 Years and 18 Years
- 18 Years +

Q11. If you answered Multi-stage in the Q9, how long will it take to reach your secondary goal?

- Within 0 – 3 years
- Between 3 Years and 8 Years
- Between 8 Years and 18 Years
- 18 Years +

Q12. Based on your current and estimated future income needs, what percentage of your investment earnings with us do you think you would be able to reinvest?

- Reinvest 80%+ of investment earnings
- Reinvest 30% - 79% of investment earnings
- Reinvest 0 to 29% of investment earnings
- Investments earnings will not be reinvested

## Section 4: Expectations

Q13. What is your expected yearly return for your investments with us?

- Under 4%
- Between 4% and 8%
- Between 8% and 15%
- Over 15%

Q14. If your goals for the portfolio are not achieved within a year, what percentage of the portfolio would you withdraw?

- None
- Under 20%
- Between 20% and 50%
- Between 50% and 100%

Q15. Which of the following examples most represent your preference regarding the potential profit/loss of your portfolio?

- Potential Loss of 0% / Potential Profit of 3%
- Potential Loss of 5% / Potential Profit of 10%
- Potential Loss of 10% / Potential Profit of 15%
- Potential Loss of 20% / Potential Profit of 35%

## Section 5: Experience and Current Investments

Q16. How would you describe your current investment knowledge?

- None/Limited/Basic Experience
- Experience of mainstream financial products
- Experience of most financial products
- Professional Investment or Frequent Trader

Q17. Which of the following financial instruments have you experience in?

- Foreign Currency
- Shares
- Mutual Funds of Shares
- Government and Corporate Bonds
- Other Investments (please specify)
- CFDs
- Futures
- Commodities & Precious Metals
- Options or Derivatives

Q18. How many years' experience of trading and/or investment do you have?

- Less than a year
- Between 1 – 3 years
- Between 3 –5 years
- More than 5 years

Q19. How many financial transactions have you carried out in the last year?

- Less than 10
- Between 10 – 50
- Between 51 – 100
- More than 101

Q20. What was the average value of the financial transactions undertaken in the last year?

- Less than €5,000
- Between €5,000 – €25,000
- Between €25,001 – €50,000
- More than €50,001

Q21. Which of the following most accurately reflects the method of investment you have used within the last year?

- 75%+ Execution only without advice
- 75%+ Based on investment advice received
- 100% Through an Asset

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Manager Account Holder

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Signature

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