



INDIVIDUAL EXPERIENCE FORM

for

TRADERS

SUCDEN FINANCIAL LIMITED

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Members of LME, ICE Futures Europe, ICE Futures U.S., LBMA, Eurex, COMEX & LCH.Clearnet

Authorised and Regulated by the Financial Conduct Authority

The information requested in this form is to enable us, and where applicable our subsidiary, Sucden Financial (HK) Limited, to fulfil our obligations under applicable laws and regulations.

1. Personal details (to be completed by all traders.)

Full Name: **Full legal name of entity employed by/authorised to act for:**

Date of Birth (DAY/MONTH/YEAR):
.....

Country of Residence:
.....

National Identification Number:
.....

Notes to assist in the completion of this section:

(i) for nationals of countries **outside** the EEA, this is your **National Passport Number**; and

(ii) or nationals of countries **inside** the EEA, please refer to the document entitled **“Annex II: National Client Identifiers for Natural Persons”** which can be found at the following location on Sucden Financial Limited’s website and provide the identification number stated in the “1st Priority” column: <http://www.sucdenfinancial.com/en/about-us/client-documentation>

SECTIONS 2-4 ONLY NEED TO BE COMPLETED IF YOU DO NOT WORK FOR AN INVESTMENT BANK OR INVESTMENT FIRM IN THE EEA, OR A REGULATED EQUIVALENT IN AUSTRALIA, CANADA, HONG KONG, JAPAN SINGAPORE OR THE US

2. Your experience and knowledge of investments

Please indicate which of the following types of investment you have previously traded in a personal and/or professional capacity, even if the company does not intend to trade any of those investments with Sucden Financial Limited or Sucden Financial (HK) Limited.

Type of investment	Number of years traded	Please list markets where investment traded (e.g. LME, ICE Futures US, ICE Futures EU, TOCOM etc)	Average frequency of trades per quarter during the last year	Approximate size/value of average deal
Shares	_____		less than 10 [] 10 or more [] trades / quarter trades	_____ (value)
Bonds	_____		less than 10 [] 10 or more [] trades / quarter trades	_____ (value)
Financial Futures	_____		less than 10 [] 10 or more [] trades / quarter trades	_____ (lots)
Financial Options	_____		less than 10 [] 10 or more [] trades / quarter trades	_____ (lots)
Commodity Futures	_____		less than 10 [] 10 or more [] trades / quarter trades	_____ (lots)
Commodity Options	_____		less than 10 [] 10 or more [] trades / quarter trades /	_____ (lots)

			quarter	
Contracts for Difference (CFDs)	_____		less than 10 [] 10 or more [] trades / quarter / quarter trades	_____ (value)
Spot & Forward Foreign Exchange	_____		less than 10 [] 10 or more [] trades / quarter / quarter trades	_____ (value)
Funds	_____		less than 10 [] 10 or more [] trades / quarter / quarter trades	_____ (value)
Over the Counter & Other Off Exchange Contracts (including Bullion)	_____		less than 10 [] 10 or more [] trades / quarter / quarter trades	_____ (value)
Spread Betting	_____		less than 10 [] 10 or more [] trades / quarter / quarter trades	_____ (value)

3. Experience of working in the financial sector (complete only if you have such experience)

	Service period (months/years)	Name of employer	Position	Related market(s) (e.g. LME)	Related product(s) (e.g. commodity futures)
1					
2					
3					
4					
5					

4. Academic or professional qualifications (complete only if you have such qualifications)

	Year of participation	Name of institution (e.g. Chartered Institute for Securities and Investments, Chinese University of Hong Kong)	Name of qualification, course or seminar	Related market(s) (e.g. LME)	Related product(s) (e.g. commodity futures)
1					
2					
3					
4					
5					

I confirm that:

- I consent to your collection and processing of my personal data for the purpose of enabling Sucden Financial Limited and, where applicable, Sucden Financial (HK) Limited to administer and operate your account, provide services to you and comply with applicable laws and regulations, including: transaction and trade reporting; and assessing your trading experience for the purposes of: (i) assessing whether a service or product is appropriate for you/your employer; or (ii) for determining whether you/your employer is a Professional Investor as defined in the rules of the Securities Futures Commission (“SFC”) of Hong Kong;
- I understand that I have the right to access, and request the correction of, any of the information that I have provided in this form by contacting Sucden Financial Limited and Sucden Financial (HK) Limited in writing;
- I understand that Sucden Financial (HK) Limited is based in Hong Kong, a jurisdiction outside the European Economic Area (“EEA”) that is not deemed to operate data protection laws equivalent to those that operate within the EEA;
- the details contained in this form are correct and complete; and
- I will inform Sucden Financial immediately in the event that any of the information given in this form becomes, or is subsequently found to be, incomplete.

Signed: _____

Date: _____