



TRADEVIEW
MARKETS



Trading agent information form

Tradeview Financial Markets S.A.C. Tradeview is authorized to conduct business pursuant to and in compliance with the **General Law of Companies (LGS)** promulgated by the government of Peru. Is authorized to conduct business pursuant to and in compliance with the **General Law of Companies (LGS)** promulgated by the government of Peru. **Tradeview Financial Markets S.A.C** is registered with the **National Superintendence of Public Registries (SUNARP)**, company number 13089531. **Tradeview Financial Markets S.A.C** provides financial services in selected OTC derivative markets in compliance with all applicable government regulations.

July 2024

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GENERAL INFORMATION

FIRM/INDIVIDUAL NAME: _____

NAME OF CONTACT: _____

DATE OF INCORPORATION: ____ / ____ / ____

ORIGIN OF FORMATION: _____

CONTACT INFORMATION

STREET ADDRESS: _____ APT. / SUITE: _____

CITY: _____ COUNTRY: _____ POSTAL: _____

PHONE (BUSINESS): _____ PHONE (FAX): _____

WEBSITE: _____ NATURE OF BUSINESS: _____

E-MAIL: _____



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To better assist us in serving the needs of our Clients and their Trading Agents, we request certain information about your business. Please assist us by providing the information requested below. Please circle a response to "Yes / No" questions. If certain items do not apply, please mark those items "N/A," sign and date the form.

PLEASE PRINT OR TYPE

1. Firm/Individual Name: _____

2. What type of entity is your firm: _____

3. How many offices do you have? _____ Please list location for each branch.

4. Please list key employees and areas of responsibility: _____

5. Are you registered with any regulatory authorities? If so, please list and provide any regulatory identification numbers.

6. Number of salesmen associated with the entity? _____

7. Number of accounts: _____ How many of these accounts are (please provide percentages, with each "vs." totaling 100%; so, for example, 90% speculative vs. 10% hedge):

Speculative _____ Vs. _____ Hedge
 Retail _____ Vs. _____ Institutional
 Self-directed _____ Vs. _____ Managed
 Proprietary _____ Vs. _____ Customer

8. Are you actively soliciting new customers? Yes / No. If yes, in which countries do you primarily solicit?

9. If soliciting, how do you solicit?

* Do you utilize lead lists? Yes / No. If yes, are they purchased or provided free of charge? What entities are the lead lists obtained from? How do these entities compile the leads? _____

* Do you use promotional material? Yes / No. What types? (Print ads, TV / radio, newsletters, direct mail); other? _____



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10. How many customer complaints have you received in the past two years? _____ What types of complaints were received (what was each customer alleging)? _____

11. Have you received any customer complaints alleging excessive trading in discretionary accounts? _____

12. Generally describe below and attach hereto documentation regarding any and all disciplinary actions taken by any regulatory agencies. _____

I hereby swear or affirm that the information provided herein is known to be true or, based on my best information, is believed to be true.

PRINTED NAME: _____ DATE: _____

TITLE: _____

FIRM: _____ SIGNATURE: _____



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I _____, the undersigned and herein after referred to as the "Trading Agent" do hereby agree to the terms and conditions set forth below applicable to all client accounts I manage Tradeview Financial Markets S.A.C through a Limited Power of Attorney.

Commissions charged by the Trading Agent will be calculated on a 'round turn' basis. Payment of such commissions will be made to the Trading Agent within 5 business days following the end of each month, unless otherwise agreed upon, for all lots closed by 5 pm EST on the last trading day of a calendar month. Any commissions due on open positions will carry forward to the subsequent month. Prot Sharing will be calculated and paid on a net high watermark basis at the rate agreed upon by the client and Trading Agent within the executed Limited Power of Attorney.

Any Trading Agent who utilizes the Multi Account Manager available on all MetaTrader platforms in their trading activity at Tradeview Financial Markets S.A.C will be charged a usage fee of \$.15 per round turn (10,000) on all foreign exchange transactions. Tradeview Financial Markets S.A.C will calculate the total usage fees at month end and the Trading Agent will be issued an invoice for the total cost. All usage fees due to Tradeview Ltd. shall be debited from any commissions and/or prot sharing due to Trading Agent and shall be debited prior to the issuing of payment to Trading Agent. Should the debiting of usage fees result in a negative equity balance such balance will carry forward and be included in the subsequent month's calculation. At no time shall Trading Agent be issued payment of commissions and/or prot sharing prior to Tradeview Financial Markets S.A.C collecting all usage fees due.

Tradeview Financial Markets S.A.C diligently supervises and monitors the activities of all managers acting as Trading Agents. As a result, Tradeview Financial Markets S.A.C, in its sole discretion, shall monitor the activities of the Trading Agent to ensure the prevention of misconduct, which shall include, but not be limited too, unauthorized trading, fraud, mismanagement, breach of duciary duty and churning. For purposes of this subparagraph 'churning' is dened as any form of excessive trading being conducted for the purposes of increasing Trading Agent's commissions, rather than to further the customer's investment goals. Upon the finding of misconduct, as reasonably determined by Tradeview Financial Markets S.A.C, any and all commissions, fees and/or prot sharing due to the Trading Agent maybe withheld in escrow for a period not to exceed six (6) months. Withheld funds can and will be used to satisfy any customer claims received as a result of misconduct on the part of the Trading Agent. The Trading Agent has a duty to inform Tradeview Financial Markets S.A.C of any customer complaints and/or claims. If, after a six (6) month period, no claims have been received by Tradeview Financial Markets S.A.C or Trading Agent, the funds will then be paid to Trading Agent. Should a claim be received prior to expiration of the six (6) month holding period, such a claim will be assessed by the Legal & Compliance Department of Tradeview Financial Markets S.A.C for validity, such a process may result in funds being held longer then six (6) months. Trading Agent indemnies and holds Tradeview Ltd., its aliates, employees, agents, successors and assigns harmless from and against any and all liabilities, losses, damages, costs and expenses, including attorney's fees, incurred as a result of commissions, fees and/or prot sharing withholdings due to a nding by Tradeview Ltd. of misconduct by the Trading Agent and receipt of a customer claim against Tradeview Financial Markets S.A.C and/or Trading Agent prior to the expiration of the six (6) month withholding period. Tradeview Financial Markets S.A.C shall not be held liable or responsible for any miscalculation of any fees, commissions, or prot-sharing.

Tradeview Financial Markets S.A.C may revoke or terminate the Trading Agent's trading authority over a Client's account at any time for any reason in its sole discretion. In the event Tradeview Financial Markets S.A.C terminates the Trading Agent's trading authorization over the Client's account, Tradeview Financial Markets S.A.C will provide written notice to both the Client and the Trading Agent. Trading Agent certies that he/she/they understand and agree to all terms and conditions of the foregoing Trading Agent Agreement.

TRADING AGENT'S NAME

TRADING AGENT'S SIGNATURE:

DATE:
