

# CLIENT CLASSIFICATION ASSESSMENT AS PER DFSA CONDUCT OF BUSINESS MODULE

DIFC Branch



We understand your world

Application Date :  /  /

PLEASE CONFIRM WHICH OF THE FOLLOWING CRITERIA YOU MEET BY TICKING AS APPROPRIATE:

**We are:**

- (a) a supranational organisation whose members are either countries, central banks or national monetary authorities;
- (b) a properly constituted government, government agency, central bank or other national monetary authority of any country or jurisdiction;
- (c) a public authority or state investment body;
- (d) an Authorised Market Institution, Regulated Exchange or regulated clearing house;
- (e) an Authorised Firm, a Regulated Financial Institution or the management company of a regulated pension fund;
- (f) a Collective Investment Fund or a regulated pension fund;
- (g) a Large Undertaking as defined as follows:  
An entity is a Large Undertaking if it met, as at the date of its most recent financial statements, at least two of the following requirements:
  - (a) it has a balance sheet total of at least \$20 million;
  - (b) it has a net annual turnover of at least \$40 million; or
  - (c) has cash and investments as shown in the balance sheet or called up capital of at least \$2 million
- (h) a Body Corporate whose shares are listed or admitted to trading on any exchange of an IOSCO member country;
- (i) an institutional investor whose main activity is to invest in financial instruments, including an entity dedicated to the securitisation of assets or other financial transactions;
- (j) a trustee of a trust which has, or had during the previous 12 months, assets of at least \$10 million;
- (k) a holder of a licence under the Single Family Office Regulations with respect to its activities carried on exclusively for the purposes of, and only in so far as it is, carrying out its duties as a Single Family Office.

I hereby consent to being treated as a Professional Client. HDFC Bank Limited DIFC Branch ("HDFC DIFC") does not offer financial services to Retail Clients. I therefore understand that I will not be afforded retail customer protections and compensation rights that may generally be available to me in other jurisdictions.

I confirm that the information provided by me above is accurate, correct, true and complete and I acknowledge that HDFC DIFC has full discretion to approve or to reject my application

I undertake to notify HDFC DIFC in writing at any time of any changes in any of the particulars or information provided by me under this Agreement, and to further provide HDFC DIFC with any information or documents it may request from time to time.

I have read and understood the terms and conditions under which HDFC DIFC is willing to offer its services

(1<sup>st</sup> Applicant Signature)

Client Name: \_\_\_\_\_

Date: \_\_\_\_\_

(2<sup>nd</sup> Applicant Signature)

Client Name: \_\_\_\_\_

Date: \_\_\_\_\_

(3<sup>rd</sup> Applicant Signature)

Client Name: \_\_\_\_\_

Date: \_\_\_\_\_