



Anti Money Laundering Policy Statement

Sword investment capital Ltd is committed to full compliance with all applicable laws and regulations regarding money laundering. Every officer, director, employee and associated person (“AP”) of the Firm is responsible for assisting in the Firm’s efforts to detect, deter and prevent money laundering and other activities intended to facilitate the funding of terrorist or criminal activities. Towards this end, it is the Firm’s policy to screen all prospective customers before any account is established and to monitor transactions in customer accounts on an ongoing basis.

Notice To Introduced Customers

If your account has been introduced to Sword investment capital Ltd by an Introducing Broker (IB), Sword investment capital Ltd wants you to be aware of and understand the relationship between Sword investment capital Ltd, the Introducing Broker and the individual Account Executive who services your account on a day to day basis.

Please be aware of the following:

Sword investment capital Ltd will only bank wires that are payable to Sword investment capital Ltd and which originated from the bank account of the named Sword investment capital Ltd account holder. No other funds can or will be accepted. Your Introducing Broker and individual Account Executive are authorized to accept only funds that are payable to Sword investment capital Ltd and no other funds. Any funds that are withdrawn from your account will be made payable to the named account holder.

All questions regarding your account should be directed to your Account Executive at your Introducing Broker. Your Account Executive will assist you in your trading. If you have granted a Power of Attorney to a third party, trading in your account is permitted without your specific

authorization for each trade. If you have not granted a Power of Attorney or Letter of Direction, trading in your account is prohibited without your specific authorization. You may be called upon to deposit additional funds to your account in the event that your account falls below Sword investment capital Ltd's margin requirements. Failure to make such deposits when called for may require Sword investment capital Ltd to protect itself from potential losses.

If you have any questions about your account statements or transactions in your account, please contact your Account Executive at your Introducing Broker. However, if your questions are not resolved to your satisfaction, please contact the Compliance Department at Sword investment capital Ltd complain@sword-capital.com.