



Client Agreement

Client Introduction Service Agreement
Neex Securities LLC
Dubai - UAE



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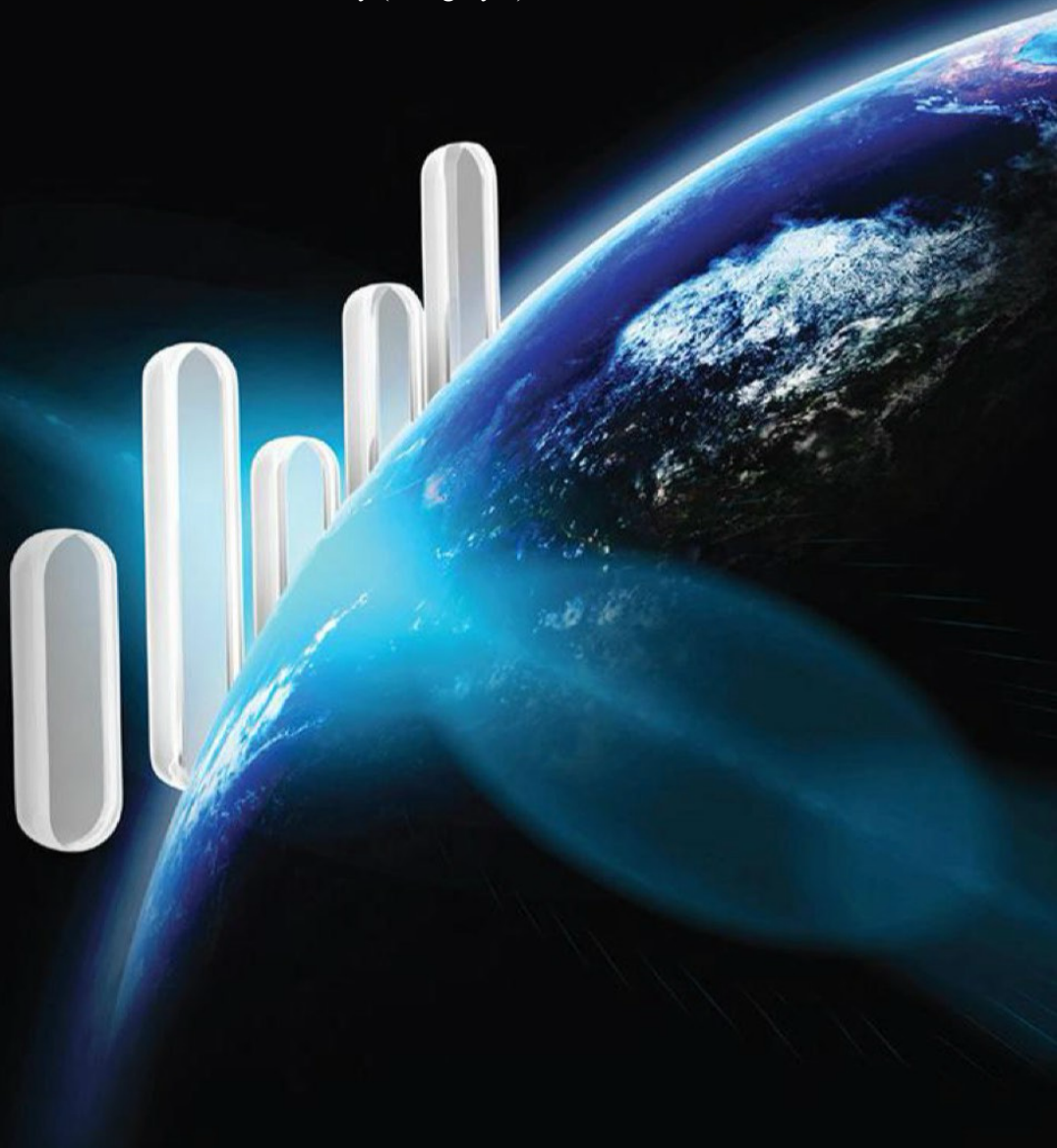
Client Agreement

By selecting this checkbox and submitting this Agreement, the Client, whether acting directly or through its duly authorized representative, expressly acknowledges and agrees that such action shall constitute a valid, enforceable, and legally binding signature. This electronic acceptance shall have the same legal effect as a handwritten signature, in accordance with the applicable laws and regulations of the United Arab Emirates (UAE), including those governing electronic transactions and electronic signatures.

The Client acknowledges and agrees that acceptance of the terms and conditions of this Agreement through electronic means, including but not limited to online acceptance, digital signature, electronic confirmation, or any other electronic authentication method approved by the Company, shall constitute valid execution of this Agreement.

For the purposes of this Agreement, the Client shall be deemed to have validly accepted and agreed to be bound by this Agreement upon confirming acceptance of the onboarding and introduction process, together with the related terms and conditions, through the Company's electronic onboarding system. Each Party agrees that electronically stored records of this Agreement shall be admissible as evidence and shall be deemed valid and enforceable to the fullest extent permitted by applicable law.

NEEX SECURITIES LLC (hereinafter referred to as the "Company") is a limited liability company duly incorporated under the laws of the United Arab Emirates (UAE). Licensed and regulated by the Capital Market Authority (CMA) to conduct the licensed activities of Introduction and Promotion only (Category 5); CMA license No. 20200000331.





CLIENT INTRODUCTION SERVICES AGREEMENT

This Agreement is entered today's date:

Between

NEEX SECURITIES LLC (hereinafter referred to as the “Company”), a limited liability company incorporated under the laws of the United Arab Emirates and licensed by the Dubai Economy & Tourism under Commercial License No. 1329462, authorized and regulated by the Capital Market Authority (CMA) under Category-5 (Promotion and Introduction), License No. 20200000331.

And

Nominated client

The Company and the Client shall hereinafter be collectively referred to as the “Parties” and individually as a “Party”.

1. PREAMBLE

This Agreement governs the relationship between the Company and the Client in connection with the Company's licensed activity of introducing clients to regulated financial institutions. The Company acts strictly as an introducer and does not execute trades or hold client funds.

2. REGULATORY STATUS

The Company operates in accordance with the regulatory framework issued by the Capital Market Authority (CMA) and is authorized to carry out Category 5 (Introduction and Promotion) activities in the United Arab Emirates.

3. SCOPE OF SERVICES

The Company's role is limited to introducing potential clients to regulated financial institutions and promoting financial services strictly within the scope of its license.

- The Company shall make reasonable efforts to understand the Client's general financial profile and objectives.
- The Company's role is strictly limited to introducing the Client to a regulated financial institution.
- The Company does not charge the Client any fees for the introduction process and may receive referral or introduction fees from the regulated entity.

- The Client acknowledges that any decision to enter into a relationship with a regulated entity is made at the Client's sole discretion.

- The Client confirms that the Company bears no liability whatsoever for the introduction process or any resulting relationship.
- The Client understands that the Company does not provide financial, investment, or legal advice.
- The Client further agrees that the Company shall not be responsible for any outcomes, losses, or obligations arising from the Client's relationship with the regulated entity.

Neex Securities L.L.C.

Is registered with Dubai Economy and Tourism
License No: 1329462 TRN: 104257348300003.

Registered Address

1701 - 1702 Vision Tower, Business Bay,
PARCEL ID: 346-466, Dubai, UAE.



4. OBJECTIVE AND PURPOSE

The Company is licensed and regulated by the Capital Market Authority under Category 5 (Introduction and Promotion) to conduct the licensed activity of introducing clients to regulated financial institutions.

The Company conducts its activities in accordance with the applicable laws, regulations, and regulatory framework of the Capital Market Authority in the United Arab Emirates.

The purpose of this Agreement is to define the relationship between the Company and the Client in connection with the introduction of the Client to a third-party regulated financial institution.

The Client acknowledges that the Company's role is strictly limited to introducing the Client to a third-party regulated entity, which may be located outside the United Arab Emirates and regulated by its respective jurisdiction.

The Client retains full discretion to decide whether to enter into any contractual or business relationship with the regulated entity.

The Company shall not be a party to any agreement between the Client and the regulated entity and shall bear no responsibility or liability for any services, transactions, or activities provided by such entity.

The Client further acknowledges that the Company does not execute transactions, manage investments, provide discretionary portfolio management services, or hold client funds.

5. NO HANDLING OF CLIENT FUNDS

The Client acknowledges that the Company does not receive, hold, or manage client funds. All financial transactions shall occur directly between the Client and the regulated financial institution.

6. CLIENT CLASSIFICATION

Clients may be classified as Retail Clients or Professional Clients in accordance with applicable regulatory requirements and based on the information provided during onboarding.

7. SUITABILITY AND APPROPRIATENESS

The Company may assess the Client's knowledge, experience, objectives, and financial situation to determine whether the services introduced may be appropriate.

8. CLIENT RISK ASSESSMENT

The Company may assess the Client's risk profile based on factors including geographic risk, occupation, source of funds, expected investment size, and PEP status.

9. ANTI-MONEY LAUNDERING

The Client agrees to comply with all applicable AML and KYC requirements and to provide documentation necessary to verify identity and source of funds.



10. REFERRAL FEES DISCLOSURE

The Client acknowledges that the Company may receive referral or introducing fees from the financial institution to which the Client is introduced.

11. RISK DISCLOSURE

Financial market activities involve a high level of risk, including the potential loss of capital. The Company does not guarantee any investment performance or outcomes.

12. DATA PROTECTION

The Client's personal data may be processed for compliance, regulatory, and operational purposes in accordance with applicable laws and regulations.

13. ELECTRONIC ONBOARDING

The Client agrees that onboarding procedures may be conducted electronically and that electronic signatures shall be legally binding.

14. CONFIDENTIALITY

Both Parties agree to maintain the confidentiality of any non-public information disclosed during the course of this Agreement.

15. LIMITATION OF LIABILITY

The Company shall not be responsible for any services, transactions, or activities provided by third-party regulated financial institutions.

16. RECORD KEEPING

Client records shall be maintained in accordance with applicable regulatory requirements.

17. GOVERNING LAW

This Agreement shall be governed by the laws of the United Arab Emirates, and any disputes shall be subject to the jurisdiction of the UAE courts.

18. REMEDIES

Each Party acknowledges that any unauthorized use or disclosure of confidential information may cause irreparable harm. The affected Party shall be entitled to seek injunctive relief, specific performance, or any other remedies available under applicable law.

The breaching Party shall indemnify the other Party for any losses, damages, or costs arising from such breach, including reasonable legal fees.

19. CONFIDENTIALITY

Term

This confidentiality obligation shall commence on the Effective Date of this Agreement and shall remain in force throughout the duration of this Agreement and for a period of three (3) years following its termination or expiry, unless otherwise agreed in writing between the Parties.

Access to Confidential Information

Each Party acknowledges that, in the course of performing its obligations under this Agreement, it may obtain access to certain confidential, proprietary, or sensitive information belonging to the other Party (the “Confidential Information”).

Such access shall be granted solely for the purpose of fulfilling the obligations contemplated under this Agreement (the “Specified Purpose”).

Each Party agrees that it shall use the Confidential Information strictly for the Specified Purpose and shall not use such information for any other purpose without the prior written consent of the Disclosing Party.

Ownership of Confidential Information

Each Party acknowledges and agrees that all Confidential Information disclosed by the Disclosing Party shall at all times remain the exclusive property of the Disclosing Party.

Nothing in this Agreement shall be construed as granting the Receiving Party any ownership rights, licenses, or other proprietary interests in the Confidential Information, except for the limited right to use such information strictly for the Specified Purpose under this Agreement.

20. NO WARRANTY AND NO RELIANCE

The Client acknowledges and agrees that the Company, in its capacity as an introducing entity, does not provide any guarantee, representation, or warranty regarding the performance, profitability, or suitability of any financial product, service, or investment opportunity offered by any third-party financial institution.

Any information, materials, or communications provided by the Company are for general informational purposes only and shall not be construed as investment advice, financial advice, legal advice, or a recommendation to enter into any transaction.

The Client confirms that any decision to establish a business relationship with a third-party regulated financial institution, or to engage in any financial transaction, shall be made solely at the Client’s own discretion and based on the Client’s independent assessment, enquiries, and evaluation.

The Company shall not be liable for any losses, damages, costs, or liabilities arising from or related to any decision made by the Client to enter into a relationship with any third-party financial institution introduced by the Company.

Contact details: support@neexae.com and/or compliance@neexae.com

LAST PAGE OF THE AGREEMENT