

COMPLIANCE GUIDELINES FOR CAPITAL COM SV INVESTMENTS LIMITED

Regulated by the Cyprus Securities and Exchange Commission (CySEC)

Below is a checklist of the main rules that should be followed in any financial promotion on any affiliate marketing channel by any affiliate providing services according to the affiliate agreement.

1. ESMA Risk Warning needs to be always present.

- For CFD trading the text of disclaimer is:

"XX% of retail investor accounts lose money when trading CFDs with this provider. You should consider whether you can afford to take the high risk of losing your money."

- For Real Stocks:

"Your capital is at risk"

- Whenever there is a **Call to Action** ('CTA') (i.e., Join now, Trade now, Invest now, Register, Open account, Verify etc), a RISK WARNING IS REQUIRED.

The disclaimer should be under/next to the button (CTA). It should always be in the language of the website, visible and added to EVERY (CTA). For the small CTA, the disclaimer is:

"XX% of retail CFD accounts lose money" (always in bold).

For the larger CTA, the disclaimer is:

"XX% of retail investor accounts lose money when trading CFDs with this provider. You should consider whether you can afford to take the high risk of losing your money".

- If a CTA is at the end of the review, website, blog or article, ALWAYS use the long version:

“CFDs are complex instruments and come with a high risk of losing money rapidly due to leverage. **XX% of retail investor accounts lose money when trading CFDs with this provider.** You should consider whether you understand how CFDs work and whether you can afford to take the high risk of losing your money.”

- At the end of any content (short or long) written about Capital.com, the long version of disclaimer should always appear as below:

“CFDs are complex instruments and come with a high risk of losing money rapidly due to leverage. **XX% of retail investor accounts lose money when trading CFDs with this provider.** You should consider whether you understand how CFDs work and whether you can afford to take the high risk of losing your money.”

Remember you can use the short version at the beginning, but you always need to use the long version at the end.

NOTE: The standardised risk warning (long or short version) (XX% of retail CFD accounts lose money) must appear at all times separate from other risk warnings and any marketing content.

- Other RWs need to be added based on content where applicable (as stocks or past performance).

Example:

If promotional material mentions growth of share price, any market move in the past, i.e growth/drop of price, market share, volumes etc like “GME grew by 30% today” these cases require an additional disclaimer:

“Past performance is not a reliable indicator of future results”

2. The ESMA Risk Warning should be updated every three months. Please make sure that you always use the updated percentage communicated to you from time to time by the affiliate manager.

3. Remember that Capital.com is a multi-asset platform which offers both investing in stocks as well as trading CFD assets.

Investments Limited, company Registration Number: 354252, registered address: 28 Octovriou 237, Lophitis Business Center II, 6th floor, 3035, Limassol, Cyprus.

4. Always mention in your affiliate marketing channel which Capital.com entity you are promoting:

Capital Com SV Investments Limited is regulated by Cyprus Securities and Exchange Commission (CySEC) under license number 319/17. Capital Com SV Investments Limited, company Registration Number: 354252, registered address: 28 Octovriou 237, Lophitis Business Center II, 6th floor, 3035, Limassol, Cyprus.

5. Use only **correct information** in your reviews/ articles and always keep them updated - more information can be found at Capital.com website or can be provided by a company representative.

6. Affiliates are only permitted to use Capital.com official marketing materials.

7. Any educational materials and/or marketing materials and/or related materials created by the affiliate to be provided to clients (i.e. banners, videos, newsletters, any significant changes to the communication channels of the affiliate etc.), through all of the communication channels, should be reviewed and approved by the Compliance Department of Capital Com SV Investments Limited prior to dissemination to clients.

8. Any new communication channels and any relevant requests should be immediately communicated to the Affiliate Account Manager and should be pre-approved by the Compliance Department. Affiliates are not allowed to promote Capital.com via sources other than the ones disclosed and approved by the Compliance Department.

9. Affiliates shall not approach, directly or indirectly, any traders and/or potential traders other than promoting Capital.com as detailed in these partner guidelines and Affiliate Agreement.

10. **Leading Compliance Principles:**

BE FAIR

- do not use misleading headlines and unfair comparisons.
- do not hide important information by using small print.
- always make sure that you display RW in a clear and visible way.
- never promise profits, bonuses, trading benefits or gains.
- do not use any unqualified or absolute statements unless they can be
- proved by a verified source of information.

BE CLEAR about any charges, fees, markets or risks.

AVOID MISLEADING MESSAGES and ensure that all statements are balanced.

- Partners can not place too much emphasis on the benefits associated with a product without also highlighting the relevant risks.
- Always look for complete, relevant data and add proper warnings when using data
- Unqualified or absolute statements cannot be used unless they can be proven by including the source as to where the information is taken from. Please avoid using: "#1 CFD provider", "Best platform", "Best CFD Provider" etc.

UNREALISTIC EXPECTATIONS

- the information shall not include the name of any competent authority in such a way that would indicate or suggest endorsement or approval by that authority of the products or services offered by Capital.com.

12. Promotional materials can be addressed only to the target market: individuals over the age of 18 interested in financial services/products/news/information.

13. Regulatory demands can change often and with no prior notice. When this occurs, all promotional materials need to be updated immediately.

14. Capital.com does not offer its services to US residents. All US-based affiliates must provide the following disclaimer with any promotions:

"Capital.com does not offer accounts to US residents"

15. Please take into account that regulatory bodies have staff who monitor financial promotions and any use of the Capital.com trading name by any Affiliate. The regulators may contact us and demand immediate withdrawal of certain material to which we have no alternative but to comply. Furthermore, additional requirements or changes in policy may be presented by regulatory bodies and in such a case, these marketing rules will be updated and Affiliates will need to comply with the updated requirements at all times. Capital.com compliance team also monitors affiliates on an on-going basis and any partner could be contacted and asked for material to be removed if it is deemed inappropriate.

Restricted/permitted countries: list to be provided by Compliance Department of Capital.com.

CAPITAL

Cross Border Services to Member States

Austria
Bulgaria
Croatia
Czech Republic
Denmark
Estonia
Finland
France
Germany
Greece
Hungary
Iceland
Ireland
Italy
Latvia
Lichtenstein
Lithuania
Luxembourg
Netherlands
Norway
Poland
Portugal
Romania
Slovakia
Slovenia
Spain
Sweden

Provision of Services to Countries Outside EU

Argentina
Armenia
Azerbaijan
Bahrain
Republic of Belarus
Cambodia
Chile
Georgia
India
Indonesia
Kuwait
Kyrgyzstan Republic
Malaysia
Mexico
Monaco
Oman
Pakistan
Philippines
Qatar
South Africa
Switzerland
Tajikistan
Thailand
Turkmenistan
United Arab Emirates
Uzbekistan