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Client Categorization Policy

Solantis LLC

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Introduction

Solantis LLC (hereinafter “the Company”, “we”, “us”, “our”, “ours” and “ourselves” as appropriate), is authorized and regulated by the Financial Authorities of Saint Lucia with license number 202500785.

Solantis treat clients differently and will categorize clients by different rules and different levels of answers and data collected during registration, their experience, behavior depending on their trading and IB Status.

Solantis can and will change the status and categorization of the client depending on its behavior on the platform effecting the trading accounts and IB Accounts.

1. Definition

For the provision of Investment services to its Clients, the Company requires the submission of information, prior to the provision of services, which is vital for the Company to understand the principal circumstances associated with the potential Client. Moreover, such submission of information is necessary for the Company to be provided with reasonable grounds to believe that the Client has the necessary knowledge and background experience to enable him/her to understand the risks associated with the product or investment service offered or requested by the Client. This Client categorization policy (hereinafter, the “Policy”) is provided to the Company’s Clients and potential Clients to give them a better and transparent overview.

The Policy forms part of the Client’s agreement, namely the Terms and Conditions with the Company, thus the Client is also bound by the terms of the Policy, as set out herein.

2. Submission of Information

For the determination of the investment knowledge and experience of the Client, the Company shall request and obtain information, which shall at least cover the following aspects to the extent that is relevant in terms of the Client’s categorization, the scope and nature of the services provided, the complexity and type of the envisaged service, transaction and product, and the risks involved:

- a) The types of the investment services, transactions and securities of which the Client has sufficient knowledge and will going to trade.
- b) The nature, volume and frequency of the Client’s transactions in securities and the period over which they were conducted.
- c) The Client’s level of education, profession and, where necessary, previous profession of the Client.
- d) Affiliate- and Commission System that the client will register.

3. Client Categorization

Retail Client:

Is a Client who is neither a Professional Client nor an Eligible Counterparty. Except for Clients who meet the requirements set out in here below or unless informed otherwise in writing, all Clients are categorized as Retail Clients.

Professional Client:

Is a Client who possesses the experience, knowledge and expertise to make his own investment decisions and properly assess the risks that he incurs. In order to be considered a Professional Client, a Client must comply with one of the following criteria:

Entities which are required to be authorized or regulated to operate in the financial markets. The list below should be understood as including all authorized entities carrying out the characteristic activities of the entities mentioned:

- a) Regulated Institutions
- b) Investment Firms
- c) Commodities and commodity derivatives dealers
- d) Other Broker or Exchanges
- e) Other Institutional Investors.

“Eligible Counterparty” is any of the following entities to which an investment firm provides the services of reception and transmission of orders on behalf of Clients and/or execution of such orders and/or dealing on own account.

4. Protection Rights of a Retail Client

Where the Company treats a Client as a Retail Client, the Client is entitled to more protections, than if the Client was treated as a Professional Client. In summary, the protection Retail Clients are entitled to the following: (the list may not be exhaustive):

- a) A Retail Client will be given more information disclosures with regards to the Company, its services, its financial instruments and their performance, the nature and risks of financial instruments, its costs, commissions, fees and charges and the safeguarding of Client financial instruments and Client funds, including summary details of any relevant investor compensation or deposit guarantee scheme, as applicable.
- b) Where the Company is providing the services of Reception & Transmission of orders and/or Execution of Client orders, the Company shall ask a Retail Client to provide information regarding his knowledge and experience in the investment field relevant to the specific type of product or service offered or demanded, so as to enable the Company to assess whether the investment service or product envisaged is appropriate for the Client. In case the Company considers, on the basis of the information received, that the product or service is not appropriate to a Retail Client, it shall warn the Client accordingly. Please note that the Company is not required to assess appropriateness in certain cases for example but not limited to the situation where on an execution only basis the financial instrument concerned is not complex. On the other hand, the Company shall be entitled to assume that a Professional Client has the necessary experience and knowledge in order to understand the risks involved in relation to those particular investment services or transactions, or types of transaction or product, for which the Client is classified as a Professional Client. Consequently, and unlike the situation with a Retail Client, the Company should not generally need to obtain additional information from the Client for the purposes of the assessment of appropriateness for those products and services for which they have been classified as a Professional Client.
- c) When executing Client orders, the Company must take all reasonable steps to achieve what is called “best execution” of the Client’s orders that is to obtain the best possible result for its Clients.
Where the Company executes an order of a Retail Client, the best possible result shall be determined in terms of the total consideration, representing the price of the financial instrument and the costs related to execution, which shall include all expenses incurred by the Client which are directly related to the execution of the order, including execution venue fees, clearing and settlement fees and any other fees paid to third parties involved in the execution of the order. The Company shall also send a notice to a Retail Client confirming execution of the order as soon as possible and no later than the first business day following execution or, if the confirmation is received by the Company from a third party, no later than the first business day following receipt of the confirmation from the third party, as applicable.
- d) Professional Clients are also entitled to a confirmation for the execution of their orders however there is no specific timeframe involved as to when the Professional Client will receive this information. Nevertheless, this confirmation shall be provided promptly.
- e) The Company must inform Retail Clients of material difficulties relevant to the proper carrying out of their order(s) promptly upon becoming aware of the difficulty.
- f) The Company is required to provide Retail Clients with more information than Professional Clients as regards the execution of their orders.

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