

G. H. Financials

Client Information Pack

G. H. Financials Limited (“GHFL”) is required by applicable regulations and by our internal policies to provide you with a variety of information about our service to you.

Regulatory information can also be found on the GHFL website at:

ghfinancials.com/en/about/regulation/ghfinancials-ltd

Contracting Entity:

G. H. Financials Limited, a private limited company incorporated in England and Wales (Registered No: 2775278)

Address:

Principal place of business of G. H. Financials Limited is :

4th Floor,
29 Ludgate Hill,
London
EC4M 7JR

Contact:

In order for you to communicate effectively with GHFL your first contact point should be the **Client Services team**:

Group email: client.services@ghfinancials.com
Group telephone: +44 (0) 207 653 6440

Should you have connectivity issues the **GHFL Esolutions team** will be able to assist you with trading issues and can pull orders in an emergency 24hrs, 6 days a week:

Group email: esolutions@ghfinancials.com
Group telephone: +44 (0) 207 653 6614

Language:

English is the language in which you should expect to communicate with GHFL and in which to receive documents and other information from GHFL.



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enquiries@ghfinancials.com
www.ghfinancials.com

G. H. Financials Limited is authorised and regulated in the UK by the Financial Conduct Authority.

Regulator:

GHFL is authorised and is regulated by the Financial Conduct Authority whose contact address is:

25 The North Colonnade
London
E14 5HS

GHFL's FCA Reference Number is **161807** and details of GHFL's regulated status is available on the FCA's Financial Services Register.

register.fca.org.uk

Terms of Business:

GHFL has executed with you a Terms of Business for Exchange Traded Futures and Options Business, together with applicable annexes, modules and supplements (the "Terms of Business").

Client classification:

We have notified you of your categorisation (as either a professional client or an eligible counterparty) together with details about your right to request a different categorisation and about any limitations to the level of client protection that a different categorisation would entail.

Minimum Cash Balance:

You are required to maintain a minimum cash balance, as advised, that you are required to retain with GHFL.

Maximum Initial Margin:

You have been assigned a maximum level of aggregate initial margin that GHFL permits on your account (the "IM Cap"). You are requested to manage your trading so as not to create positions that generate an initial margin in excess of the IM Cap.

Pre-Trade Limits:

We will agree with you the maximum trading positions that you will be able to hold in specified exchange traded derivatives and these will be constrained via pre-trade limits in the trading platforms and/or via the relevant exchange's risk tools.



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Communication Modes:

Unless you notify us otherwise, you will be deemed to have agreed that any communication between you and GHFL can be made by any means at our disposal including email or the website of GHFL.

Conflicts of Interest Policy:

A summary of GHFL's approach to managing Conflict of Interest can be found on the GHFL website.

ghfinancials.com/en/about/regulation/ghfinancials-ltd

Order Execution Policy:

A summary of GHFL's Execution Policy for Professional clients can be found on the GHFL website. We draw your attention to the fact that this document will be deemed to be accepted by a Professional client as soon as execution business is conducted with us.

Execution of Manual Orders:

GHFL does not operate an execution desk and therefore is only able to receive orders that are electronically routed. No manual orders can be accepted. You should ensure that you have made appropriate arrangements with a third-party broker to be able to execute for you should electronic transmission of orders not be possible. GHFL can facilitate an introduction to a third-party broker if necessary.

Reports:

The daily valuations which GHFL sends to you, supplemented where applicable with additional reporting as per content and frequency agreed with you, provides details of the transactions executed and a summary of the clearing service that has been performed.

Protection of Client Money and Assets:

Details regarding treatment of client money is provided in the Terms of Business.

If you have elected to operate your account utilising Title Transfer Collateral Arrangements ("TTCA") whereby the full ownership of money is transferred to GHFL, this will be specified in the Terms of Business.

GHFL is governed by FCA's Client Money rules, which are to be found in the Client Asset Sourcebook ("CASS") within the FCA's Handbook of rules, that require segregation of client money from GHFL's own House money.



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Client money is held on trust and accounts that are holding client money are clearly labelled as such whether they are at banks (credit institutions), intermediate brokers or Authorised Central Counterparties (“CCPs”). Similarly, where they are in respect of TTCA or House they are clearly labelled as such ensuring they are distinct from client money accounts.

For each bank (credit institution), intermediate broker and CCP GHFL has obtained confirmation of the trust status of the accounts via acknowledgement letters.

A daily client money calculation is performed to determine what the client money requirement was at the close of the previous business day. Any deficit is topped up using GHFL’s own funds. Any excess is drawn down. All movements on client related accounts are identified and reconciled within 24 hours.

If GHFL were to become insolvent, client money would be distributed in accordance with CASS rules so that each client would receive a sum which is rateable to its client money entitlement.

If GHFL were to become insolvent a TTCA client would be treated as a general creditor of GHFL.

Trading on markets outside of the EU will involve different risks from the EU markets. Client money held in institutions outside of the EU will be subject to the law of a jurisdiction other than that of an EU Member State and rights relating to funds held may differ accordingly.

Individual Client Segregation:

CCPs are required to offer both individual client segregation and omnibus client segregation. GHFL is able to provide clients with the same individual segregation as that offered by a CCP.

Costs and Charges:

Information on costs and charges associated with the services provided by GHFL will be provided to you at point of account opening and in the event that services or rates should change.

A commission schedule is provided to new clients and is periodically re-confirmed with existing clients. Clearing commissions charged per product can be seen on the client valuation.



Risks:

You should ensure that you are familiar with the risk in trading futures and options. Annex 3 to the Terms of Business contains a Risk Disclosure Schedule. This is supplemented by provision of the information below.

The risk of loss in trading futures contracts can be substantial. You should not deal in derivative products unless you understand the nature of the contract you are entering into, the extent of the exposure to risk and that you are satisfied that the contract is suitable for you in light of your circumstances and financial position.

Although futures and options can be utilised for the management of investment risk, the “gearing” or “leverage” often obtainable in futures and options trading means that a small deposit or down payment can lead to large losses as well as gains.

Futures and options transactions have a contingent liability, and you should be aware of the implications of this, in particular the margining requirements. If the market moves against your position, you may be called upon by GHFL to deposit a substantial amount of additional margin funds, on short notice, in order to maintain the position. If you do not provide the required funds within the time required by GHFL, your position may be liquidated at a loss, and you will be liable for any resulting deficit in your account.

Transactions in futures involve the obligation to make, or to take, delivery of the underlying asset of the contract at a future date, or in some cases to settle the position with cash.

Buying options involves less risk than selling options because, if the price of the underlying asset moves against the option holder, the option can be allowed to lapse. The maximum loss is limited to the premium, plus any commission or other transaction charges. However, if a call option on a futures contract is exercised then the future will be acquired and the risks of holding futures will then apply.

The risk involved in writing options is considerably greater than buying options. You may be liable for margin to maintain your position and a loss may be sustained well in excess of the premium received. By writing an option, you accept a legal obligation to purchase or sell the underlying asset if the option is exercised against you however far the market price has moved away from the exercise price. If you already own the underlying asset which you have contracted to sell (known as “covered call options”) the risk is reduced. If a call option is not covered then the risk can be unlimited. Only experienced persons should contemplate writing uncovered options, and then only after securing full details of the applicable conditions and potential risk exposure.

Under certain market conditions, you may find it difficult or impossible to liquidate a position in futures or options. This may occur, for example, at times of rapid price movement if the price rises or falls in one trading session to such an extent that under the rules of the relevant market trading is suspended or restricted or if the systems of the relevant market cannot function for any reason.

Placing contingent orders, such as “stop-loss” or “stop-limit” orders, will not necessarily limit losses to the intended amounts, since market conditions on the exchange where the order is placed may make it impossible to execute such orders.



Indirect Clearing:

GHFL may not deal directly in the relevant market but may act through one or more brokers or intermediaries. In such cases, your positions may be affected by the performance of those third parties in addition to the performance of GHF. Specific details per market can be provided.

Insolvency:

GHFL's insolvency or default, or that of any other brokers involved with client transactions, may lead to positions being liquidated or closed out without your consent. In certain circumstances, you may not get back the actual assets which you lodged as collateral and may have to accept any available payments in cash.

Transaction Reporting:

Investment firms must report within one business day transactions on financial instruments to their national competent authorities. They must report directly or through an approved reporting mechanism (ARM). Please ensure that you are aware of your additional responsibilities under MIFIDII for transaction reporting.

Commodities:

To enhance scrutiny of commodity trading, national competent authorities are setting position limits on commodity derivatives and require that details of positions be reported to the trading venues and authorities on a daily basis. If you trade commodities please ensure you are aware of your additional responsibilities under MIFIDII for complying with commodity position limits.

Algorithmic Trading:

If you trade via an automated order generator please ensure that you are aware of your additional responsibilities under MIFIDII (specifically RTS6) for complying with algorithmic trading requirements.

Legal Entity Identifier (LEI):

You are required to provide us with your LEI and keep it updated.

Information on LEI providers is provided by the Global Legal Entity Identifier Foundation (GLEIF):

[gleif.org/en/about-lei/how-to-get-an-lei-find-lei-issuing-organizations](https://www.gleif.org/en/about-lei/how-to-get-an-lei-find-lei-issuing-organizations)

