

Appendix I. AML Policy

V01/2022



PURE DMA TRADING
GUARANTEED
STP EXECUTION



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Tier1FX is the online trading and brokerage division of Hogg Capital Investments Ltd, a fully licensed Category II Investment Services Company (registration number IS18954) authorized and regulated by the Malta Financial Service Authority (MFSA) and located at The Shackleton Building, Blue Harbour, Ta' Xbiex Seafront, Ta' Xbiex, XBX 1027 Malta. The company's investment services license falls under the definition of relevant financial business in terms of the Prevention of Money Laundering and Funding of Terrorism Regulations (PMLFTR) and, therefore, the company fully complies with such legal requirements.

In adherence to PMLFTR and FIAU's Implementing Procedures, the AML&TF guidance notes are issued to all the Company's employees. Tier1FX commits to perform detailed KYC and background checks on potential clients as well as performing ongoing due diligence procedures on existing clients and it reserves the right to refuse the acceptance of a client or the processing of a client's transaction at any stage where it has arrived at a reasonable opinion that the client or the transaction may be connected in any way to money laundering or criminal activity.

As part of AML policy, Tier1FX will NOT:

- Accept Third Party Payments
- Accept clients coming from countries that are variously listed on regulatory financial sanctions implementation notices

If you wish to obtain further details on our AML processes and assessment of prospective client, please contact compliance@tier1fx.com.



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Tier1FX represents the branded offering of the online brokerage division of Hogg Capital Investments Limited which is a fully licensed Class II Investment Firm (registration number C 18954) authorized under the Investment Services Act, regulated in Malta by the Malta Financial Services Authority (MFSA) and located at Nu Bis Centre, Mosta Road, Lija LJA9012, Malta. Our authorization may be viewed here: <https://www.mfsa.mt/financial-services-register/>