

CLIENT FUNDS POLICY

Client Funds Policy

Segregated account is a bank account or securities account in which a customer's funds are held separate from the funds of a securities brokerage firm. The correct practice requires that the Company must hold separately, in separate accounts on the broker's books, securities it holds for its customers from the securities of the broker itself. This is done to create a clear separation between the two groups of money so client funds are not used for the wrong purpose. A central reason for the rule is that it also helps ensure that the money or securities can be easily identified as belonging to customers in case a firm becomes bankrupt.

Funds transferred from a client to ABC Markets LLC will usually be received directly into a segregated client bank account and the company cannot use such funds. All clients' funds are separated from those funds belonging to the Company.

When you open an account with us, we will hold your money on a segregated basis. This means that we pay each client's money – including deposits and net unrealised profits – into a segregated client bank account (i.e. an account which is separate from our own).

As a Company we are required to:

- a) keep accurate records and accounts - so that at any time and without delay - distinguish assets held for one client from assets held for any other client, and company own assets;
- b) maintain accurate records and accounts. Such accounts to be updated monthly as per the general code of conduct;
- c) conduct reconciliations between internal accounts and records, and with those of third parties; and
- d) take necessary steps to ensure that client funds which are deposited are held in an account or accounts identified separately from any accounts used by the Company.