

**Automated Trading Account (ATA) - Advisory Agreement**  
**Asset Investment Management (AIM)**  
Little Mountain Road, Beef Island, British Virgin Islands, VG1110

### Exchanges

[CME Group US](#)  
[NASDAQ OMX US](#)  
[TMX Canada](#)  
[Intercontinental UK US](#)  
[Eurex Germany](#)  
[BM&F Bovespa Brazil](#)

[JSE South Africa](#)  
[ASX Australia](#)  
[JPX Japan](#)  
[Simex Singapore](#)  
[HKEX Hong Kong](#)  
[DCE China](#)

[SHFE China](#)  
[Zhengzhou China](#)  
[NSE India](#)  
[Moscow Exchange](#)  
[DME Dubai](#)  
[DCCC Dubai](#)

### Markets

[US Indices](#)  
[E-Mini S&P 500](#)  
[E-Mini Nasdaq 100](#)  
[DJIA mini-sized](#)  
[Russell 2000 Mini](#)  
[E-Mini S&P Midcap](#)  
[CBOE S&P 500 VIX](#)  
[S&P GSCI](#)

[Global Indices](#)  
[Euro Stoxx 50](#)  
[FTSE 100](#)  
[DAX Index](#)  
[Swiss Market Index](#)  
[CAC 40](#)  
[BEL 20](#)  
[PSI 20](#)

[Nikkei 225 Mini](#)  
[SGX Kikkei 225](#)  
[Nikkei 225](#)  
[Nikkei 225 Yen](#)  
[SGX FTSE China A50](#)  
[S&P TSX 60](#)  
[Swiss Market Index](#)  
[All Major World Indices](#)

[Energies](#)  
[Crude Oil WTI](#)  
[ULSD NY Harbor](#)  
[Gasoline RBOB](#)  
[Natural Gas](#)  
[Crude Oil Brent \(F\)](#)  
[Ethanol Futures](#)

[Energies Europe](#)  
[Crude Oil Brent](#)  
[Crude Oil WTI ICE](#)  
[ICE Gas Oil LS](#)  
[ICE Natural Gas](#)  
[ICE RBOB Blendstock](#)  
[ICE Heating Oil](#)

[Financials US](#)  
[T-Bond](#)  
[Ultra T-Bond](#)  
[10-Year T-Note](#)  
[5-Year T-Note](#)  
[2-Year T-Note](#)  
[30-Day Fed Funds](#)

[Financials Europe](#)  
[Eurodollar](#)  
[Euro Bund](#)  
[Euro Bobl](#)

[10-Year Long Gilt](#)  
[Euro Schatz](#)  
[Euro Buxl](#)  
[Euro OAT Long-Term](#)  
[Euro BTP Long-Term](#)

[3-Month Euribor](#)  
[10-Year Long Gilt](#)  
[3-Month Euribor](#)  
[3-Month Sterling](#)  
[3-Month Euroswiss](#)

[Currency Futures](#)  
[U.S. Dollar Index](#)  
[British Pound](#)  
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[Major Cross Rates](#)  
[Swiss Franc](#)  
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[Australian Dollar](#)  
[Mexican Peso](#)

[All Cross Rates](#)  
[New Zealand Dollar](#)  
[South African Rand](#)  
[Brazilian Real](#)  
[Indian Rupee DGCX](#)

[Gold](#)  
[Silver](#)

[Platinum](#)  
[High Grade Copper](#)

[Palladium](#)  
[Metals](#)

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## Introduction

Our objective is to provide our clients with the best long/short trading programs through the safest and most capable firms worldwide. Every member of our team has a minimum of 19 years of professional trading experience, all have worked on the floor of a Major Exchange or Proprietary Trading Desk.

AIM clients include financial institutions, corporations, fund managers, family offices and sophisticated individual investors requiring access to,

- [43 Exchanges](#)
- [70+ Brokerage Firms](#)
- [Top Ranked Automated Trading Accounts \(ATAs\)](#)
- [Top Performing Stocks \(long or short\)](#)
- [Top Performing Exchange Traded Funds \(ETF's\)](#)
- [Top Ranked Commodity Trading Advisors](#)
- [Top Ranked Hedge Funds](#)
- [Multi Manager Asset Allocation](#)

## Sectors Traded

- [Global Stock Indices \(Futures\)](#)
- [Currencies \(Cash Market\)](#)
- [Currencies \(Futures\)](#)
- [Metals Markets \(Futures\)](#)
- [Global Energy Markets \(Futures\)](#)
- [Global Interest Rates \(Futures\)](#)
- [Global Interest Rates \(Futures\)](#)
- [Hedge Funds & CTAs](#)
- [Stock & Index CFDs](#)
- [All S&P 500 Stocks](#)
- [All NASDAQ 100 Stocks](#)
- [Top/Bottom Stocks all US Exchanges](#)
- [200 ETFs - Exchange Traded Funds](#)
- [Cannabis Stocks](#)

## Automated Trading Accounts

- [ATAs What They Are & How They Work](#)
- [The ATA Fee Structure](#)
- [Defining an ATA Allocation](#)
- [Defining Overall Risk for Your ATA Account](#)
- [Exchanges Traded](#)
- [Brokerage Firms](#)
- [How Balances Are Guaranteed Plus or Minus Trading Activity](#)

## Instructions for opening an Automated Trading Account (ATA), video links for more information

**Page 5, Advisory Agreement, signature & date**



**Page 6, Fee Payment Agreement, signature & date**



**Page 7, Defining Overall Account Risk, fill in initial & maintenance balance, broker, base currency, programs traded, signature & date**



**Page 8, Risk Disclosure, signature & date**



**Page 9, Q.E.P. Acknowledgement for non-U.S. citizens and entities, signature & date**

**Please email scanned copies to**

**[Peter.Knight@PeterKnightAdvisor.com](mailto:Peter.Knight@PeterKnightAdvisor.com)**

**My team will sign-off and forward copies to your broker**

**If you need assistance call Virgin Islands +340-244-4310**

## **AIM ADVISORY AGREEMENT**

This Advisory Agreement (“Agreement”) is made between Asset Investment Management (AIM) and the undersigned Client to facilitate an Automated Trading Account (ATA)

### **1. Client’s Account**

Client will open a trading account with a clearing broker of Client’s choice and deposit the sum set forth Initial and Maintenance Agreement. The initial deposit, all-subsequent deposits and withdrawals from the account and all transactions in the account shall be subject to this agreement. If a Client owns more than one account which is managed by AIM each account shall be subject to this agreement. If more than one person is signing this Agreement as Client, each person is granting trading authorization to AIM, an account in joint names creates a joint tenancy with right of survivorship and not a tenancy in common.

### **2. Receipt of and Reliance on Advisory Agreement**

Client acknowledges that he or she has received, read, and understands the Advisory Agreement furnished by Asset Investment Management and has signed an acknowledgement to that effect. Client understands that no person has been authorized by Asset Investment Management to make statements inconsistent with those contained in this Advisory Agreement.

### **3. Authorization to Asset Investment Management (AIM) to Enter Orders and Trade for the Account**

Client appoints Asset Investment Management as its sole attorney-in-fact with respect to the Account to buy and sell or otherwise trade in any type of individual shares, ETF’s, Futures or options on any foreign or domestic exchange pursuant the client’s defined trading program(s) AIM shall have discretionary authority to make all trading decisions for the Account, without prior consultation with Client and without prior notice to Client with respect to such trading decisions. By this Agreement, Client authorizes the broker to permit AIM to enter orders and make trades for the account.

### **4. Additions to and Withdrawals from the Account**

Client may add to or withdraw funds from the Account with notice to AIM to the extent consistent with Broker’s margin requirements and applicable contract markets traded.

### **5. Fees**

Annual management fee = 0.00%

AIM works on a percentage of net new high profits quarterly measured from the old quarterly high to the net new high. The incentive fee charged is based on the account’s starting balance.

Start balances less than \$100,000 = 12.50%

\$100,000 to \$500,000 = 10.00%

Greater than \$500,000 = 7.50%

Cumulative Net Profits is defined as the Account’s total realized and unrealized trading gains less commissions and incentive fees, less total realized and unrealized trading losses from the date of the initial deposit or previous quarterly high. The unrealized gain or loss of an open position shall be based on that contract’s settlement price as determined by the exchange on which the transaction is traded or quarterly settlement quotation as supplied by the clearing broker for cash transactions.

The carryover of previous losses assures that incentive fees are paid only on cumulative net new high valuation from the previous quarterly high.

AIM may, in its sole discretion, pay certain parties, portions of the fees that AIM earns as compensation for the introduction and maintenance of client accounts.

An incentive fee once approved and paid by the client is not refundable

If a client is trading multiple programs through multiple brokerage firms the quarterly incentive is calculated on the net performance of all accounts directed by AIM

AIM provides a quarterly statement of all accounts calculating overall cumulative net profit or loss. AIM invoices the client, the client approves and pays AIM directly. Arrangements can be made to have the brokerage firm deduct the amount automatically, but all accounts under this agreement must be maintained at the same brokerage firm.

## **6. Responsibilities of the Broker**

Client recognizes that AIM will transmit orders on his or her behalf to a carrying broker or to executing brokers on a "give-up" basis but will not directly execute such orders. AIM's responsibilities with respect to such orders shall be fulfilled at the time that a complete order has been transmitted to the broker. AIM shall not be responsible for any acts, omissions, or errors of a broker in executing such orders. Broker will furnish the Client with confirmations of all transactions executed in the account, monthly statements of trading activities in the account and other statements customarily furnished by broker to its customers. The furnishing of such reports shall be the sole responsibility of broker.

Client authorizes broker to provide copies of all statements to AIM including but not limited to all confirmations, statements or reports sent by broker to Client. Client understands that Client will be required to pay, brokerage commissions and applicable exchange fees.

AIM cannot deposit or withdraw funds from a customer account, all deposits and withdrawals to the customer account must originate and return to an account with the same name as the account at the carrying broker. In other words, no 3rd party transfers can be accepted into or sent out of a customer segregated account.

## **7. Termination**

This Agreement is a continuing one and shall remain in full force and effect until terminated by written notice. Such termination shall not affect any liability in connection with any resulting transactions initiated prior to termination. The Agreement shall automatically terminate upon written notice to AIM of the death, legal disability, or bankruptcy of Client. Such notice shall be deemed given on the close of business on the day such notice is received by AIM Management.

## **8. Trading for Own Account and Management of Other Accounts**

AIM Management's services are not exclusive to Client, and AIM shall be free to render similar services to others. In addition, AIM and its employees may trade interests for their own accounts. They may, at times, have positions consistent with or contrary to those being entered for Client accounts or may conduct trading, which could be more or less aggressive, in different markets and pursuant to different strategies. In all cases, orders placed by AIM will not be given precedence over those of their clients

## **9. Authority**

Client, if a corporation, partnership, trust, or other entity, hereby represents to AIM that Client has full authority to execute and deliver this Agreement, to purchase, sell and trade as authorized hereunder, and that the individual signing this Agreement is legally competent and authorized to do so on behalf of Client.

**10. Enforceability**

If any provision of this Agreement is, or at any time shall become, inconsistent with any present or future law, rule, regulation, or ruling of any court or regulatory body, such provision shall be deemed rescinded or modified to conform to such law, rule, regulation or ruling and the remaining provisions of this Agreement shall not be affected thereby and shall remain in full force and effect.

**11. Assignment**

This Agreement shall not be assigned by either party without the express written consent of the other party and shall be binding upon the parties hereto, their heirs, successors, respective legal representatives. This Agreement constitutes the final and complete agreement between the parties hereto and may not be altered or modified without the signed written consent of both parties.

**12. Notices**

Any notices required to be given hereunder shall be in writing and sent by certified or registered mail, return receipt requested, to AIM and to Client. Either party may change his or her address by giving notice in writing to the other party stating the new address. Notices to Client from AIM shall be deemed given as of the close of business on the third business day after mailing. Notices to AIM from Client shall be deemed given as of the same business on the day such notices are received by AIM.

**13. Arbitration**

If a Client signs the Arbitration Agreement, Client is waiving his or her right to commence an action in a court of law and will be bound by the rules and procedures of a mutually selected and agreed arbitration forum.

<b>Customer</b>	
_____	
Signature	
_____	Date _____
Printed Name	
_____	
Entity or Joint Party Signature	
_____	Date _____
Printed Name	

## AIM Fee Payment Agreement

You hereby agree to

Quarterly incentive fee as measured from the previous quarterly high to the net new quarterly high based on the start balance of the account.

0.00% Management Fee

Incentive Fee is set by the start balance of the account

- \_\_\_ Less than \$100,000 = 12.50%
- \_\_\_ \$100,000 to \$500,000 = 10.00%
- \_\_\_ Greater than \$500,000 = 7.50%

Cumulative Net Profits is defined as the Account's total realized and unrealized trading gains less commissions and incentive fees, less total realized and unrealized trading losses from the date of the initial deposit or previous quarterly high. The unrealized gain or loss of an open position shall be based on that contract's settlement price as determined by the exchange on which the transaction is traded or quarterly settlement quotation as supplied by the clearing broker for cash market transactions.

The carryover of previous losses assures that incentive fees are paid only on cumulative net new high valuation from the previous quarterly high.

AIM may, in its sole discretion, pay certain parties, portions of the fees that AIM earns as compensation for the introduction and maintenance of client accounts.

An incentive fee once approved and paid by the client is not refundable

If a client is trading multiple programs through multiple brokerage firms the quarterly incentive is calculated on the net performance of all accounts at all brokers directed by AIM

<b>Customer</b>
_____
Signature
_____ Date _____
Printed Name
_____
Entity or Joint Party Signature
_____ Date _____
Printed Name

## Initial and Maintenance Balance Agreement

For acknowledging, defining, and controlling risk the undersigned agrees to the following

Initial Deposit \_\_\_\_\_

AIM Control Risk Approval \_\_\_\_\_

Maintenance Balance \_\_\_\_\_

Compliance Officer \_\_\_\_\_

Carrying Broker \_\_\_\_\_

Approval Code \_\_\_\_\_

Base Currency \_\_\_\_\_

Date \_\_\_\_\_

Should the account liquidation value fall below the maintenance balance as calculated by the settlement price AIM is instructed to,

- Liquidate all positions for the account on or before the next market settlement.
- If AIM fails to liquidate positions on or before the next settlement AIM will be liable for any resulting loss.
- Trading authorization will automatically be revoked.
- Any new positions would be deemed unauthorized and transferred to AIM error account immediately.

### Trading Program(s)

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#### Customer

Signature \_\_\_\_\_

Date \_\_\_\_\_

Printed Name \_\_\_\_\_

Entity or Joint Party Signature \_\_\_\_\_

Date \_\_\_\_\_

Printed Name \_\_\_\_\_



## Risk Disclosure

**The risk of loss in trading can be substantial.** You should therefore carefully consider whether such trading is suitable for you in light of your financial condition. In considering whether to trade you should be aware of the following:

**If you purchase or sell a cash market, futures or option contract** you may sustain a total loss of the initial margin funds and additional funds that you deposit with your broker to establish or maintain your position. If the market moves against your position, you could be called upon by your broker to deposit additional margin funds, on short notice to maintain your position. If you do not provide the additional required funds within the prescribed time, your position may be liquidated at a loss, and you would be liable for any resulting deficit in your account.

**Under certain market conditions, you may find it difficult or impossible to liquidate a position.**

**The placement of contingent orders** by you or your trading advisor, such as a “stop-loss” or “stop-limit” orders, will not necessarily limit your losses to the intended amounts, since market conditions may make it impossible to execute such orders.

**A “spread” position** may not be less risky than a simple “long” or “short” position.

**Trading can be highly leveraged.** The low margin deposits normally required in trading (typically between 3% to 50% of the value of the contract purchased or sold) permit an extremely high degree of leverage. Accordingly, a relatively small price movement in a contract may result in immediate and substantial losses to the investor or gains. In any leveraged investment, any trade may result in losses more than the amount invested.

**In some cases, accounts are subject to substantial charges** for management and advisory fees. It may be necessary for those accounts that are subject to these charges to make substantial trading profits to avoid depletion or exhaustion of their assets.

**Trading is speculative and volatile.** Price movements are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; United States and foreign political and economic events and policies; changes in national interest rates and inflation; currency devaluation; and sentiment of the market. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor’s advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

**Execution of orders.** In entering orders for clients’ accounts, the advisor does not intend to limit itself to any kind of order. At times, the Advisor may enter market orders intended to obtain the prevailing market price in a particular market. The advisor may, however, at times use limit orders and other kinds of qualified orders if, in its judgment, that appears appropriate in the given market circumstances. In addition, when liquidating a position, the advisor may generate a reversal order, i.e., the current position is liquidated and an opposite one established for the market in question, if signaled by the program.

**Potential conflicts of interest.** If a broker or advisor trades for their own proprietary accounts, it is possible that orders of the advisor could compete for execution with the orders of other customers, even if said orders are placed with different brokers. There is a potential that orders executed by a particular broker chosen by the client, could receive better or worse prices than orders executed for and by the broker or advisor for its own proprietary accounts.

**Customers who participate in an AIM managed account program** must be aware that introducing brokers, can receive compensation, either directly from the advisor in the form of a shared portion of the incentive fees charged and/or the clearing fees charged by the brokerage firm. Introducing brokers may charge their own management, administrative or other fees in connection with introducing the client. These forms of compensation to the broker create a potential conflict of interest for the broker by creating a financial incentive for them to recommend an advisor or trading system.

### Customer

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Entity or Joint Party Signature

\_\_\_\_\_  
Printed Name

**QUALIFIED ELIGIBLE PERSON ("QEP") 4.7 ACKNOWLEDGEMENT  
NON-UNITED STATES PERSONS**

Gentlemen:

The undersigned is a Qualified Eligible Person ("QEP") within the meaning of Commodity Futures Trading Commission Rule 4.7 because:

\_\_\_\_\_ **(A) A natural person who is not a resident of the United States.**

\_\_\_\_\_ (B) A partnership, corporation, or other entity, other than an entity organized principally for passive investment, organized under the laws of a foreign jurisdiction and which has its principal place of business in foreign jurisdiction.

\_\_\_\_\_ (C) An estate or trust, the income of which is not subject to United States income tax regardless of source.

\_\_\_\_\_ (D) An entity organized principally for passive investment such as a pool, investment company or other similar entity; Provided, that units of participation in the entity held by persons who do not qualify as Non-United States persons or otherwise as qualified eligible persons represent in the aggregate less than 10% of the beneficial interest in the entity, and that such entity was not formed principally for the purpose of facilitating investment by persons who do not qualify as Non-United States persons in a pool with respect to which the operator is exempt from certain requirements of Part 4 of the Commission's regulations by virtue of its participants being Non-United States persons; or

\_\_\_\_\_ (E) A pension plan for the employees, officers or principals of an entity organized and with its principal place of business outside the United States.

PURSUANT TO AN EXEMPTION FROM THE COMMODITY FUTURES TRADING COMMISSION IN CONNECTION WITH ACCOUNTS OF QUALIFIED ELIGIBLE PERSONS, THIS BROCHURE OR ACCOUNT DOCUMENT IS NOT REQUIRED TO BE, AND HAS NOT BEEN, FILED WITH THE COMMISSION. THE COMMODITY FUTURES TRADING COMMISSION DOES NOT PASS UPON THE MERITS OF PARTICIPATING IN A TRADING PROGRAM OR UPON THE ADEQUACY OR ACCURACY OF COMMODITY TRADING ADVISOR DISCLOSURE. CONSEQUENTLY, THE COMMODITY FUTURES TRADING COMMISSION HAS NOT REVIEWED OR APPROVED THIS TRADING PROGRAM OR ACCOUNT DOCUMENT.

<b>Customer Acknowledgement</b>	
_____	
Signature	
_____	Date _____
Printed Name	
_____	
Entity or Joint Party Signature	
_____	Date _____
Printed Name	