

# SAXO BANK CLIENT APPLICATION FORM

## INSTRUCTIONS FOR COMPLETION

Before completing the form, please make sure you have read and understood all information regarding your Saxo Bank trading account, including the General Business Terms, the Risk Disclosure Statement, as well as any other business terms and policies governing the client relationship (which are available on Saxo Bank's website).

Please complete all information as accurately as possible in block capital letters with a black or blue pen.

If you in addition to the Trading Platform require individualized services by Saxo Bank such as active advisory or discretionary portfolio management you will need to complete a suitability questionnaire. Please contact one of our Sales Representatives for further information about how to complete such a questionnaire.

To comply with money laundering regulations, you are required to send the following documentation (A or B as applicable) along with the form:

A	INDIVIDUAL CLIENTS	B	CORPORATE CLIENTS
	<ul style="list-style-type: none"><li>• A copy of your valid and signed passport</li><li>• Proof of residency, e.g. a copy of your national ID card, driver's license or social security card containing your registered address or a bank statement or utility bill (e.g. gas, water, electricity, land line phone, oil, internet or cable TV connections) issued in your name within the previous 6 months</li></ul>		<ul style="list-style-type: none"><li>• A copy of the certificate of incorporation</li><li>• Articles of association appropriately signed</li><li>• Documentation on who can sign on behalf of the corporate entity (authorised signatories)</li><li>• Copies of passports belonging to the authorised signatories to verify signatures</li><li>• Documentation of ownership structure</li><li>• Documentation as listed under "A-Individual Clients" for all beneficial owners as defined under Part 5.</li></ul>

For **fast processing** please return the completed form with the above-mentioned documentation to your Introducing Broker or directly to Saxo Bank by either:

### Fax

Fax a copy of the form together with the documentation to +44 20 7151 2001.

### Email

Scan the form together with the documentation and email it to [e2contractsadmin@saxobank.com](mailto:e2contractsadmin@saxobank.com).

**Please note that if you send your application via email or fax, you still need to submit the original form within 14 days by standard mail.**

Send the application by regular mail together with the documentation to either your IB or

Saxo Bank  
26th Floor  
40 Bank Street  
Canary Wharf  
London E14 5DA  
United Kingdom

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All clients must complete **Part 1**, **Part 3**, **Part 6**, and **Part 7** of the Client Application Form. Corporate clients must furthermore complete **Part 4** and **Part 5**.

PART 1   GENERAL CLIENT OR CORPORATION DETAILS	
Introducing Broker (if applicable):	
Full name (First name + Surname) / Corporation name:	
Date of birth (required):        /        /        DD/MM/YY	Town/City of birth (required):
National Insurance / Passport No. (required):	Male <input type="checkbox"/> Female <input type="checkbox"/>
Registered address:	
Post code:	Town / City:
County / State:	Country:
Postal address (if different):	
Post code:	Town / City:
County / State:	Country:
*Phone (private):	Fax (private):
Phone (work):	Fax (work):
*Phone (mobile):	E-mail (required):

\*You must provide either a private or a mobile number for the application to be processed.

PART 2   CLIENT CLASSIFICATION
<p><b>Client Classification</b></p> <p>In accordance with the MiFID Directive, Saxo Bank has to segment and classify all its clients into three categories: Retail, Professional and Eligible Counterparty.</p> <p>All clients will, as a point of departure, be classified as Retail Clients, in order to grant them the highest level of regulatory protection. Nevertheless, if you feel that this initial classification does not reflect your current level of knowledge and experience in certain (or the entire range of) investment products, you may select another classification in the Client Profile Screen on the Saxo Trader or by contacting your Account Manager.</p>

PART 3   PURPOSE AND SCOPE OF CLIENT RELATIONSHIP (MANDATORY)
<p><b>Purpose and scope of applying for an account with Saxo Bank</b></p> <p><input type="checkbox"/> Capital preservation / hedging (Minimize the potential for any loss of principal)</p> <p><input type="checkbox"/> Growth (Increase investment value over time while accepting price fluctuations)</p> <p><input type="checkbox"/> Speculation (Assume the highest degree of risk for potentially higher returns)</p>

**PART 4 | CORPORATE DISCLOSURE**

**Only to be completed by corporate clients.**

**Directors and Officers**

Number of board members:

Chairman/president:

Managing director/vice president:

Authorized Signatories:

**PART 5 | CORPORATE OWNERSHIP**

**In order to comply with FATF and EU regulations on Anti Money Laundering, all credit institutions in the EU must verify the identity of selected private individuals connected to the corporate entity applying for an account. This may include private individuals owning more than 25% of the shares or voting rights in the corporate entity.**

- Individuals who ultimately own or control the company by direct or indirect ownership or control of more than 25% of the shares or voting rights in the company, except if the shares are listed on a regulated marketplace.
- Individuals exercising control over the management of the company, in ways other than those listed above.
- Individuals who, according to the articles of association or otherwise specified, are entitled to receive 25% or more of the distributed funds or other assets of a fund or similar legal arrangement, assuming these persons are known.
- Individuals in whose main interest the fund or similar legal arrangement has been established or acts.
- Individuals who exercise control over a minimum of 25% of the distributed funds or other assets of the fund or similar legal arrangement.

**Please provide documentation confirming the ownership structure of your company.**

This could be in the form of a share certificate/register or a declaration of corporate structure form.

Documentation regarding the corporate ownership should originate from or be verified by a public authority, notary public or a recognized external lawyer.

Those individuals, who qualify as beneficial owners in accordance with the criteria listed above, must comply with the due diligence requirements stated in Section A – "Individual Clients".

Any significant changes in the ownership structure must be immediately reported to Saxo Bank.

Please note that all information supplied is kept confidential in accordance with the Danish Financial Services Act.

