



CORPORATE ACCOUNT APPLICATION FORM

Before completing this form, please ensure that you have obtained and read all the information regarding the products and services provided by Shard Capital Stockbrokers and all relevant terms and policies made available, and updated from time to time, on our website: shardcapitalstockbrokers.co.uk

Checklist of document copies to be provided with a completed Corporate Account Application Form

- ☐ Proof of regulation (if applicable)
- ☐ Certificate of Incorporation and/or Certificate of Good Standing (if company is more than 1 year old)
- ☐ Memorandum and Articles of Association
- ☐ Group structure chart
- ☐ Authorised signatory list (with specimen signatures)
- ☐ Latest financial statements
- ☐ Register of directors
- ☐ Register of members/shareholders
- ☐ Passport or other government issued ID for all Ultimate Beneficial Owners holding 25% or more of the company (certified)
- ☐ Proof of address (e.g. utility bill/bank statement) which is no more than 3 months old, for all Ultimate Beneficial Owners holding 25% or more of the company
- ☐ Passport or other government issued ID for 2 company Directors (certified)
- ☐ Proof of address (e.g. utility bill/bank statement) which is no more than 3 months old, for 2 company Directors

* All reference to company includes but is not limited to the legal persons set out in Part 2: Company type.

It may be necessary for us to request further documentation and information in order to complete the due diligence process. The form must be signed by at least 2 authorised signatories unless the company has a sole signatory.

Once completed, the completed form and documentation should be sent to our business address below, or scanned and emailed to scsb@shardcapital.com

PART 1: PRODUCT ASSESSMENT QUESTIONNAIRE

This section should be completed by the applicant authorised to operate the Corporate Account

Please tick ☐ the box as appropriate

BACKGROUND

1. Please indicate your level of education

- ☐ Secondary School
- ☐ College
- ☐ Undergraduate degree
- ☐ Postgraduate degree

2. What is your knowledge of financial investments and the financial markets?

- ☐ No knowledge and no perception of risks involved
- ☐ Limited knowledge and some perception of risks involved
- ☐ Thorough knowledge and fully aware of risks

3. What is your investment objective?

- ☐ Long term capital growth/income generation
- ☐ Short term speculative/day trading
- ☐ Hedging
- ☐ Other

4. What is your investment horizon?

- ☐ Less than 1 month
- ☐ Less than 1 year
- ☐ 1-3 years
- ☐ 3-5 years
- ☐ More than 5 years

5. Which of the following best describes your attitude to risk and ability to bear losses when investing?

- ☐ I am not prepared to take any risk and cannot bear any losses
- ☐ I am prepared to take risk and am able to lose the amount invested
- ☐ I am prepared to take risk and am able to bear losses exceeding the amount invested when trading products on margin

6. Please indicate how much you intend to invest (GBP)

- ☐ Less than £5,000
- ☐ Between £5,000 - £20,000
- ☐ Between £20,000 - £50,000
- ☐ More than £50,000

PRODUCT SELECTION

Please indicate which products you are interested in investing with us:

- ☐ Equities (if you wish to trade equities and/or Bonds only, please go to PART 2: PERSONAL DETAILS)
 - ☐ Bonds (if you wish to trade Bonds and/or equities only, please go to PART 2: PERSONAL DETAILS)
 - ☐ CFDs (if you wish to trade CFDs please complete questions 1 – 8 in the EXPERIENCE AND PROFESSIONAL QUALIFICATIONS section)
 - ☐ Forex (if you wish to trade Forex please complete questions 1 – 8 in the EXPERIENCE AND PROFESSIONAL QUALIFICATIONS section)
 - ☐ Futures (if you wish to trade Futures please complete questions 1 and 9 – 14 in the EXPERIENCE AND PROFESSIONAL QUALIFICATIONS section)
 - ☐ Options Futures (if you wish to trade Futures please complete questions 1 and 9 – 14 in the EXPERIENCE AND PROFESSIONAL QUALIFICATIONS section)
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EXPERIENCE AND PROFESSIONAL QUALIFICATIONS

1. Do you have any relevant qualifications or have you worked in a position for at least 3 years that would require your knowledge of margined products? (E.g. CFDs, FX, Options, Futures) and ETFs/ETCs/ETNs

- ☐ Yes
- ☐ No

CFDS AND FOREX

2. How many years have you been trading these products on a non-advised basis?

- ☐ 0 - 1 year
- ☐ 1 - 5 years
- ☐ More than 5 years

3. What is your average number of trades per month in these products over the last 12 months on a non-advised basis? (numerical value)

- ☐ Less than 2
- ☐ Between 2-10
- ☐ More than 10

4. What is the average value of your trades in Forex per month over the last 12 months on a non-advised basis?

- ☐ £0-50k
- ☐ £50K-1M
- ☐ £1M +

5. What is the average value of your trades in CFDs per month over the last 12 months on a non-advised basis?

- ☐ £0-5k
- ☐ £5K and £20K
- ☐ £20K +

6. If the margin requirement for a CFD with a notional value of 1,000 USD is 100 USD, what is the leverage?

- ☐ 10 times
- ☐ 100 times
- ☐ No leverage

7. If you buy EURUSD are you:

- ☐ Buying Dollars/selling Euros
- ☐ Buying Euros/selling Dollars
- ☐ Buying Dollars/buying Euros

8. If you trade one CFD on Vodafone, you would then own one physical share of Vodafone

- ☐ True
- ☐ False

OPTIONS, FUTURES OR ETFs/ETCS/ETNS

9. How many years have you traded these products on a non-advised basis?

- ☐ 0 -1 year
- ☐ 1- 5 years
- ☐ More than 5 years

10. What is your average number of trades per month in these products over the last 12 months on a non-advised basis?

- ☐ Less than 1
- ☐ Between 1-10
- ☐ More than 10

11. What is the average value of your trades in these products per month over the last 12 months?

- ☐ £0-5k
- ☐ £5K – £20k
- ☐ £20K +

12. Futures are a leveraged product allowing you to buy/sell a particular instrument at a pre- determined price at a specified time in the future?

- ☐ True
- ☐ False

13. When you sell/write an option, your losses are limited?

- ☐ True
- ☐ False

14. When trading ETFs/ETNs/ETCs, can the losses exceed the balance on your account?

- ☐ Yes
- ☐ No

PART 2: COMPANY INFORMATION

<div>Company name</div> <hr/> <div>Company registration number</div> <hr/> <div>Country of incorporation</div> <hr/> <div>Date of incorporation</div> <hr/> <div>Registered address</div> <hr/> <div>Postcode</div> <hr/> <div>Country</div> <hr/> <div>Postal address (if different from registered address)</div> <hr/> <div>Postcode</div> <hr/> <div>Country</div> <hr/> <div>Legal Entity Identifier (LEI) number (required in order to trade)</div> <hr/> <div>Contact email address</div> <hr/> <div>Contact telephone number</div> <hr/> <div>Countries of residence (for tax purposes of the company)</div> <hr/> <div>VAT number</div> <hr/> <div>Do you operate from any place of business in the US</div> <div>Yes <input type="checkbox"/> No <input type="checkbox"/></div> <hr/> <div>Do you meet two or more of the following requirements (you will be classified as a Per Se professional client unless advised otherwise)?</div> <div>Please tick all that apply:</div> <div>Balance sheet of at least €20,000,000 or equivalent <input type="checkbox"/></div> <div>Net turnover of at least €40,000,000 or equivalent <input type="checkbox"/></div> <div>Own funds of at least €2,000,000 or equivalent <input type="checkbox"/></div>	<div>Company type and nature of business (please tick all that apply)</div> <div><input type="checkbox"/> PLC <input type="checkbox"/> Asset Manager</div> <div><input type="checkbox"/> Hedge Fund <input type="checkbox"/> Private Investor</div> <div><input type="checkbox"/> Broker/Dealer <input type="checkbox"/> Partnership</div> <div><input type="checkbox"/> LTD <input type="checkbox"/> Bank</div> <div><input type="checkbox"/> Pension Fund <input type="checkbox"/> Institutional Investor</div> <div><input type="checkbox"/> Insurance Company <input type="checkbox"/> Other (please detail below)</div> <div><input type="checkbox"/> LLP</div> <hr/> <div>Is the company listed on a regulated stock exchange?</div> <div>Yes <input type="checkbox"/> No <input type="checkbox"/></div> <div>If yes, name of exchange</div> <hr/> <div>Is the company regulated</div> <div>Yes <input type="checkbox"/> No <input type="checkbox"/></div> <div>If yes:</div> <div>Name of regulator: _____</div> <div>Registration no: _____</div> <div>Compliance Officer details (if applicable)</div> <div>Compliance Officer name</div> <hr/> <div>Compliance Officer email</div> <hr/> <div>Compliance Officer telephone number</div> <hr/> <div>Primary source of funds for the account</div> <hr/> <div>Expected amount of initial funding in the account</div> <hr/>
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PART 3: ULTIMATE BENEFICIAL OWNER/SHAREHOLDER DETAILS

NOT APPLICABLE TO PUBLICLY LISTED COMPANIES IF LISTED ON A RECOGNISED EXCHANGE

Please provide details of beneficial owners/shareholders who hold 25% or more of the company's shares. If there are more than two, please provide the necessary details on the Additional Details sheet at the back of this form.

BENEFICIAL OWNER 1

Title	Surname
Forename(s)	
Date of Birth	
Town of birth	
Are you a US Citizen? Yes <input type="checkbox"/> No <input type="checkbox"/>	
If you are a tax Resident in the UK Crown Dependencies (Jersey, Guernsey, and Isle of Man) or Gibraltar, please provide your Taxpayer Identification (TIN):	
National Client Identifier (see page 10)	
National Client Identifier Document (E.g. Passport. See page 10)	
National Insurance Number	
Which countries are you resident in for tax purposes (please list all)	
Current residential address	
Postcode	
Country	
Primary phone number	
Email address	

BENEFICIAL OWNER 2

Title	Surname
Forename(s)	
Date of Birth	
Town of birth	
Are you a US Citizen? Yes <input type="checkbox"/> No <input type="checkbox"/>	
If you are a tax Resident in the UK Crown Dependencies (Jersey, Guernsey, and Isle of Man) or Gibraltar, please provide your Taxpayer Identification (TIN):	
National Client Identifier (see page 10)	
National Client Identifier Document (E.g. Passport. See page 10)	
National Insurance Number	
Which countries are you resident in for tax purposes (please list all)	
Current residential address	
Postcode	
Country	
Primary phone number	
Email address	

PART 4: POLITICALLY EXPOSED PERSONS

Is any Director or Ultimate Beneficial Owner of the company, a Politically Exposed Person (someone who has been entrusted with a prominent public function)?

☐ Yes

☐ No

If yes, please provide further details

Is any Director or Ultimate Beneficial Owner of the company, a Relative (including a spouse, partner, children and their spouses or partners and parents) or Close Associate (including any individual who is known to have joint beneficial ownership of a legal entity or legal arrangement, or any other close business relations) of a Politically Exposed person?

☐ Yes

☐ No

If yes, please provide further details

PART 5: INVESTMENT SERVICE TYPE

Please indicate what type of investment service you require:

☐ Discretionary (we act and make all investment decisions on your behalf)

☐ Advisory (we advise you on investment strategy but you have the final say)

☐ Execution Only (you have full control over investment strategy and decision making)

PART 6: AUTHORISED DEALERS

The following persons are employees of the company and are hereby authorised by the company to execute trades on your behalf:

Name	Position	Email	Telephone number

PART 7: MAIN ACCOUNT CURRENCY

Please state the currency of the main account: _____

PART 8: BOARD RESOLUTION

We certify that at a meeting of the directors of (insert company name) _____

whose registered office is at (insert registered office address) _____

held on (insert date of meeting) _____, the following resolutions were passed:

1. That Shard Capital Stockbrokers is hereby requested and authorised to open for the company such account(s) as may now or from time to time be considered appropriate for purposes of transacting and subscribing to the services and products of Shard Capital Stockbrokers according to the relevant terms and conditions;
2. That the director(s) that sign the application form are hereby authorised to do so for and on behalf of the company, do all acts, execute all documents and perform and enter into all agreements necessary or convenient for the purposes of opening and/or operating the account; and
3. That the person(s) on Part 6 of this application form and any additional person(s) so indicated are hereby authorised to give instruction in relation to the account(s).

PART 9: DECLARATIONS

By signing below, the following declaration applies:

1. I/We have read and understood the nature and the risk of the product(s) that the company intends to trade in this account.
2. I/We warrant that we have full power and authority to open and operate the account in accordance with the above resolutions, the company's articles and memorandum of association and any other constitutional documents and without breach of any law, restriction or obligation binding on the company
3. I/We have provided true, accurate and complete information and undertake to update Shard Capital of any changes to the information provided without delay.
4. I/We accept that in certain circumstances Shard Capital will be obliged to share information with UK tax authorities, who may pass it on to other tax authorities.
5. I/We have obtained from the website (www.shardcapitalstockbrokers.com), read and understood the following:
 - a) Terms of Business (including the product risks disclosure)
 - b) Order Execution Policy
 - c) Conflict of Interest Policy
 - d) Charges
6. I/We consent to the Order Execution Policy and for any orders to be executed outside a regulated market or a multilateral trading facility.
7. I/We consent for any unexecuted limit orders not to be made public.
8. I/We accept and agree to be bound by the terms provided above and consent to such terms and information including future updates to these be provided to me by way of posting on the website indicated above.

EXPRESS CONSENT FOR RECEIVING INFORMATION ELECTRONICALLY

We are required by regulation to obtain your express consent to provide you with information in an electronic, durable medium that is not paper (for example, by email).

If you do not consent to us providing information to you electronically, we will be unable to offer you an account. For the avoidance of doubt, by consenting to receiving information via electronic means, you remain entitled to provide us with specific requests for information via a reasonable alternative form of durable medium.

- I/We hereby consent to receive information from Shard Capital via email, PDF document or by any other durable medium that is not paper.
- I/We hereby consent to receive information not personally addressed to me via the websites that you provide me notice of.

☐ I/We Accept

DATA PROTECTION

Your data will be processed in line with the Shard Capital Privacy Notice which can be found at www.shardcapitalstockbrokers.com/factsheets-and-docs-information/

MARKETING COMMUNICATION

We offer a range of different email information services covering daily market news, invitations to investor events, reports and analysis and company updates. If you would like to receive this information, please select your preferences below:

- ☐ Daily market note – pre-market open news, data and corporate updates.
- ☐ Event invitations - receive invites to company presentations and exclusive investor events.
- ☐ Trading ideas and analysis – in-depth look at a pick of companies using technical and fundamental analysis.
- ☐ Broker news and updates – research based information, CEO interviews and product updates.

DATE

AUTHORISED SIGNATORY NAMES/SIGNATURES

FULL NAME	SIGNATURE
FULL NAME	SIGNATURE
FULL NAME	SIGNATURE
FULL NAME	SIGNATURE

NATIONAL IDENTIFIER

We are required to confirm your nationality and National Client Identifier (NCI) to fulfil our obligations as part of the Markets in Financial Instruments Directive (MiFID II). Your NCI will depend on your nationality but for most it's something you already have been issued with. As an example, UK nationals will need to provide their National Insurance Number, but for some nationalities we'll need to confirm your nationality with a state-issued document number. Please refer to the table below to check which documentation and information is needed.

IT IS IMPORTANT THAT YOU PROVIDE THIS INFORMATION. WITHOUT IT, YOU WILL BE UNABLE TO TRADE.

Nationality	National Client Identifier
United Kingdom	UK National Insurance Number
Belgium	Belgian National Number (Numéro de registre national - Rijksregisternummer)
Bulgaria	Bulgarian Personal Number
Croatia	Personal Identification Number (OIB - Osobni identifikacijski broj)
Czech Republic	National Identification Number (Rodné číslo)
Denmark	Personal Identity Code (10 digits alphanumerical: DDMMYYXXXX)
Estonia	Estonian Personal Identification Code (Isikukood)
Finland	Personal Identity Code
Iceland	Personal Identity Code
Italy	Fiscal Code (Codice fiscale)
Latvia	Personal Code (Personas kods)
Lithuania	Personal Code (Asmens kodas)
Malta	National Identification Number
Norway	11 Digit Personal ID (Foedselsnummer)
Poland	National Identification Number (PESEL)
Portugal	Tax Number (Número de Identificação Fiscal)
Romania	National Identification Number (Cod Numeric Personal)
Sweden	Personal Identity Number
Slovenia	Personal Identification Number (EMŠO: Enotna Matična Številka Občana)
Slovakia	Personal Number (Rodné číslo)
Spain	Tax Identification Number (Código de - fiscal)
All other countries	National Passport Number

ADDITIONAL NOTES
