

## Corporate Account Application and Customer Information Disclosure

Thank you for choosing EC Markets Group Ltd. To make it easy and convenient to open your account, we have included all the necessary forms in this application pack. Prior to filling in this form and providing any Personal Data, please ensure that you have read, understood and accept the terms of the EC MARKETS Privacy Policy that can be accessed via the Document Centre on our website at [www.ecmarkets.co.uk](http://www.ecmarkets.co.uk)

**If there is anything you need to query, please contact us as soon as possible.**

**PLEASE COMPLETE THIS FORM IN BLOCK LETTERS**

Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

| Section 1: APPLICANT INFORMATION   |           |  |           |
|--|-----------|--|-----------|
| Applicant Name:  |           |  |           |
| Applicant Legal Type: <input type="checkbox"/> Limited Liability Company <input type="checkbox"/> Partnership <input type="checkbox"/> Public Limited Company (PLC) <input type="checkbox"/> Trust |           |  |           |
| Nature of Business (please be specific):   |           |  |           |
| Registered Address:  |           | Business Operating Address (if different from registered): |           |
| City:  | Postcode: | City:  | Postcode: |
| Country:   |           | Country:   |           |
| Country of Registration:   |           | Incorporation Date:  |           |
| Company Registration Number:   |           | Legal Entity Identifier (LEI) – Mandatory:                 |           |
| Section 2: REGULATION  |           |  |           |
| Is the Applicant registered as an authorised entity with any regulatory body? Yes <input type="checkbox"/> No <input type="checkbox"/>   |           |  |           |
| In which country is the Applicant regulated?   |           |  |           |
| Name of the agency or Competent Authority the Applicant is registered with:  |           |  |           |

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|   |  |
|---|--|
| Authorisation/Permission reference No:  |  |
| Type of Registration/License/Permissions:   |  |
| Has the Applicant or any of its Director's ever been declared bankrupt?      Yes <input type="checkbox"/> No <input type="checkbox"/>   |  |
| If "Yes", please provide full details:  |  |
|   |  |
|   |  |
| <b>FATCA/Tax Status</b>   |  |
| <i>All Beneficial Owners holding 10% or more of the available shares of the company must self-certify their FATCA Tax Status</i>  |  |
| <b><u>Beneficial Owner 1</u></b>  |  |
| The country or countries where you are a tax resident: _____  |  |
| Are a US Citizen, US Resident, US Green card holder or a person with a presence in the US (mail address or any other connections with the USA)?<br><input type="radio"/> Yes <input type="radio"/> No |  |
| If you are a US Citizen or tax resident in the USA, Jersey, Guernsey, Isle of Man or Gibraltar please enter you TIN below.  |  |
|   |  |
| Tax Identification Number (TIN)   |  |
|   |  |
| <b>FATCA/Tax Status</b>   |  |
| <i>All Beneficial Owners holding 10% or more of the available shares of the company must self-certify their FATCA Tax Status</i>  |  |
| <b><u>Beneficial Owner 2</u></b>  |  |
| The country or countries where you are a tax resident: _____  |  |
| Are a US Citizen, US Resident, US Green card holder or a person with a presence in the US (mail address or any other connections with the USA)?<br><input type="radio"/> Yes <input type="radio"/> No |  |
| If you are a US Citizen or tax resident in the USA, Jersey, Guernsey, Isle of Man or Gibraltar please enter you TIN below.  |  |
|   |  |
| Tax Identification Number (TIN)   |  |
|   |  |



### Section 3: SHAREHOLDERS, DIRECTORS and DESIGNATED INDIVIDUALS

Please indicate below the Shareholders, Directors, and all duly Authorised Representatives who will act on behalf of the Company and Designated Traders who will trade on behalf of the Company.

**Specify those Shareholders (SH) holding 25% or more of the issued share capital in the Applicant company. If no SH owns more than 25% of the shares, then provide information on the largest SH that exercise control over the running of the Applicant Company. If SH is a company, then EC MARKETS GROUP LTD will require information and Identification of the Ultimate Beneficial owner (25% shareholding and above).**

**Directors and people of Influence in the Company - all Executive Directors and primary Decision makers (CEO, CFO, COO and any 'Shadow Director').**

**Authorised Representative(s), (AR):**

It is the intention of the Company to give the Authorised Representatives of the Company the broadest possible power with respect to the account or accounts of the Company. Any one of the following individuals listed below is hereby authorised to direct the deposit or withdrawal of funds in such accounts; to confirm the correctness of transactions; and to deal fully with EC MARKETS GROUP LTD with respect to such accounts.

**Designated Trader(s), (TR):**

It is the intention of the Company to give the Designated Trader(s) no other power but the power to trade in, purchase and sell contracts for difference, rolling spot forex and other derivative instruments, on margin or otherwise to trade on the platform as provided by EC MARKETS GROUP LTD.

| First Name | Initials | Last Name | Position | E-mail | SH (%) | AR | TR |
|------------|----------|-----------|----------|--------|--------|----|----|
|            |          |           |          |        |        |    |    |
|            |          |           |          |        |        |    |    |
|            |          |           |          |        |        |    |    |
|            |          |           |          |        |        |    |    |
|            |          |           |          |        |        |    |    |



# Ec MARKETS

SPEED | STABILITY | INTEGRITY

## PRIMARY CONTACT INFORMATION

Please specify the contact information for the individual who should be contacted regarding any matter should any problems or concerns arise regarding this application. The primary contact is not necessarily an Authorised Representative. To be an Authorised Representative, the primary contact should also be listed in the "Authorised Representatives" section.

|                      |                       |                   |                  |
|----------------------|-----------------------|-------------------|------------------|
| <b>First Name:</b>   | <b>Initials:</b>      | <b>Last Name:</b> | <b>Title:</b>    |
| <b>Phone Number:</b> | <b>Mobile Number:</b> | <b>Email:</b>     | <b>Position:</b> |

## ADDITIONAL CONTACT INFORMATION

|                      |                       |                   |                  |
|----------------------|-----------------------|-------------------|------------------|
| <b>First Name:</b>   | <b>Initials:</b>      | <b>Last Name:</b> | <b>Title:</b>    |
| <b>Phone Number:</b> | <b>Mobile Number:</b> | <b>Email:</b>     | <b>Position:</b> |

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EC Markets is a trading name of EC Markets Group Ltd.  
EC Markets is authorised and regulated by the Financial Conduct Authority FRN: 571881 and registered in England and Wales 07601714. Registered Address: 45 King William Street, London, United Kingdom, EC4R 9AN.  
Trading Address: New Broad Street House, 35 New Broad Street, London, EC2M 1NH, UK

**PLEASE TICK ANY BOXES IN THE NEXT FOUR CATEGORIES THAT APPLY TO YOUR COMPANY**

**Section 4: FINANCIAL INFORMATION and CATEGORISATION INFORMATION**

The following shall all be regarded as **Professionals** in all investment services and activities and financial instruments for the purposes of the Directive.

1. Entities which are required to be authorised or regulated to operate in the financial markets. The list below shall be understood as including all authorised entities carrying out the characteristic activities of the entities mentioned: Entities authorised by a Member State under a Directive, entities authorised or regulated by a Member State without reference to a Directive, and entities authorised or regulated by a Third Country:

- Credit Institutions;
- Investment firms;
- Other authorised or regulated financial institutions;
- Insurance companies;
- Collective Investment Schemes and management companies of such schemes;
- Pension funds and management companies of such funds;
- Commodity and commodity derivatives dealers;
- Locals;
- Other institutional investors;

2. Large undertakings meeting two of the following size requirements on a company basis:

- Balance sheet total: EUR 20,000,000
- Net turnover: EUR 40,000,000
- Own funds: EUR 2,000,000

3.  National and regional governments, including public bodies that manage public debt at national or regional level, Central Banks, international and supranational institutions such as the World Bank, the IMF, the ECB, the EIB and other similar international organisations.

4.  Other institutional investors whose main activity is to invest in financial instruments, including entities dedicated to the securitisation of assets or other financing transactions.

**If you did not tick any of the previous categories, please answer the following questions:**

**As a guide in answering these questions, your attention is drawn to the guidance below.**

- *“Significant size”* - when transactions are of a significant size, we will consider whether the transactions were individually large enough to provide you, the client, with meaningful exposure to the relevant market so that it contributed to you acquiring the required expertise, experience and knowledge of the transactions or services envisaged.
- *“Relevant market”* would be a market dealing in products comparable to those in which you intend to trade with us.

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In the case that the applicant is a small entity or non-qualifying clients (per-se professional), please answer the next section for the person that will be authorised to carry out transactions on behalf of the entity (e.g. Director, Manager, Head Trader, Head Dealer).

| 1. Has the Applicant carried out transactions, in significant size, on the relevant market <b>(FX, CFDs in Metals or commodities or Indices)</b> at an average frequency of 10 per quarter over the previous <b>4 (four)</b> quarters? | Yes <input type="checkbox"/> No <input type="checkbox"/><br><b>Please provide last 4 quarterly statements</b>   |              |                     |  |  |  |  |  |  |  |  |
|--|---|--------------|---------------------|--|--|--|--|--|--|--|--|
| <b>TRADING EXPERIENCE (Margin based products):</b>   |   |              |                     |  |  |  |  |  |  |  |  |
| What is your experience trading currencies through Interbank markets or OTC Foreign Exchange?  | <table border="1"> <thead> <tr> <th data-bbox="1023 604 1266 682">Years Traded</th> <th data-bbox="1266 604 1536 682">Frequency of Trades</th> </tr> </thead> <tbody> <tr> <td data-bbox="1023 682 1266 745"></td> <td data-bbox="1266 682 1536 745"></td> </tr> <tr> <td data-bbox="1023 745 1266 808"></td> <td data-bbox="1266 745 1536 808"></td> </tr> <tr> <td data-bbox="1023 808 1266 871"></td> <td data-bbox="1266 808 1536 871"></td> </tr> <tr> <td data-bbox="1023 871 1266 934"></td> <td data-bbox="1266 871 1536 934"></td> </tr> </tbody> </table> | Years Traded | Frequency of Trades |  |  |  |  |  |  |  |  |
| Years Traded   | Frequency of Trades   |              |                     |  |  |  |  |  |  |  |  |
|  |   |              |                     |  |  |  |  |  |  |  |  |
|  |   |              |                     |  |  |  |  |  |  |  |  |
|  |   |              |                     |  |  |  |  |  |  |  |  |
|  |   |              |                     |  |  |  |  |  |  |  |  |
| What is your experience trading CFDs (Contracts for difference)?   |   |              |                     |  |  |  |  |  |  |  |  |
| What is your experience in trading commodities?  |   |              |                     |  |  |  |  |  |  |  |  |
| What is your experience in trading options?  |   |              |                     |  |  |  |  |  |  |  |  |
| 2. Does the Applicant have an investment portfolio (Cash and Financial Instruments) more than EUR €500,000 in value?   | Yes <input type="checkbox"/> No <input type="checkbox"/><br><b>Please provide proof of funds</b>  |              |                     |  |  |  |  |  |  |  |  |
| 3. Does the Applicant work, or has worked, in the financial sector for at least one year in a professional position, which requires knowledge of the transactions or services envisaged?   | Yes <input type="checkbox"/> No <input type="checkbox"/><br><b>Enclose a detailed CV/Resume</b>   |              |                     |  |  |  |  |  |  |  |  |
| 4. Please confirm if you will want to be opted-up to the status of a Professional Client (we will send you an additional document to sign advising you of a reduction in current Retail Client protections)                            | Yes <input type="checkbox"/> No <input type="checkbox"/>  |              |                     |  |  |  |  |  |  |  |  |

### Section 5: TRADING ACCOUNT INFORMATION

|  |   |
|--|---|
| <b>What will be your initial deposit amount?</b>   | <b>Intended Purpose of the Account</b> (please check all that apply):<br><input type="checkbox"/> Speculative <input type="checkbox"/> Hedging <input type="checkbox"/> Manage Risk |
| <b>Source of Funds:</b>  |   |
| <b>Risk Capital (Amount that, if lost, would not jeopardize the company's operations) - (in numbers):</b> _____ <b>(in words):</b> _____ |   |
| <b>Expected average daily trading volume (USD Millions):</b>   | <b>Expected average daily number of trades:</b>   |

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|   |  |
|---|--|
| <b>Will you be holding positions overnight?</b> | <b>If the answer to overnight positions is yes, please indicate the amounts held open:</b> |
|---|--|

**Section 6: BANKING INFORMATION (if you are planning to use more than one account please duplicate this page)**

Account Currency:  USD  GBP  EUR

|                        |                                   |
|------------------------|-----------------------------------|
| <b>Bank Name:</b>      | <b>Full Name on Bank Account:</b> |
| <b>Bank Address:</b>   | <b>Country:</b>                   |
| <b>IBAN:</b>           | <b>Swift/BIC:</b>                 |
| <b>Account Number:</b> | <b>Sort Code:</b>                 |

**CONFIRMATIONS AND STATEMENTS:**

EC MARKETS will provide you with secure access to your online account, where you can view all aspects of your account via the intra-day and end of day statements. In addition, the EOD and EOM statements can also be emailed to you each calendar month.

|                       |                       |
|-----------------------|-----------------------|
| <b>Email Address:</b> | <b>Email Address:</b> |
| <b>Email Address:</b> | <b>Email Address:</b> |

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**ACKNOWLEDGEMENTS AND DECLARATION**

I / we, the undersigned hereby declare that the information given is true to the best of my/our knowledge and that false declarations will result in the loss of my/our right to hold EC Markets Group Ltd responsible for any failure to comply with its obligations under the European Union (markets in Financial Instruments) Regulations 2007, (as amended) (MiFID Regulations), concerning the assessment of appropriateness of services and products. I / we certify that we have the authority to sign on behalf of the applicant and that the signature(s) is/are genuine and I / we, the contracting party am (are) obliged to inform EC Markets Group Ltd immediately of any material changes to the information provided. I / we have read, understood and accept EC Markets Group Ltd Terms of Business (including Annex - 1 Electronic Services with specific regard to Third Party Data obligations) and have received EC MARKETS Execution policy and conflict of interest policy.

**SIGNATURES**

**Print Full Name (and position if a Company or Trust):**

**Signature:**

**Date (DD/MM/YYYY):**

**Print Full Name (and position if a Company or Trust):**

**Signature:**

**Date (DD/MM/YYYY):**



**EC Markets Group Ltd - Corporate Client (non-exhaustive) Due Diligence Requirements for on-boarding:**

1. ALL documents provided in a language other than English must be translated into English by a Notary public or a legally certified translator from the originating country (details of certifying Notary Public or legally certified translator to also be provided).
2. All certified documents must be certified within the last 180 days by a practicing authorised Notary Public, Solicitor/Lawyer, Accountant, or a State Entity/Agency (e.g Police Station/Consulate)
3. Common documents, information and data required for all Corporate Client Applications ("**BASIC REQUIREMENTS**").
  - Certificate of Incorporation
  - Memorandum and Articles of Association (or equivalent)
  - Register of Members (certified <180 days old)
  - Register of Directors (certified <180 days old)
  - Certificate of Good Standing (<12 months old)
  - Registered office address
  - Business address (proof of occupancy: title deed/tenancy agreement/lease)
  - Corporate Resolution – Authorised signatories for account opening.  
Evidence that the nominated individuals have the appropriate authorisation to undertake binding corporate transactions on behalf of the entity (e.g. authorised signatory list) - this should be by way of a company Board Resolution or the initial Memorandum and Articles of Association (or equivalent). Unless there is one sole Director.
  - Corporate Resolution – Authorised Signatories for managing the trading account (as part of the application form)
  - Source of Funds
  - Source of Wealth for UBOs
4. UBOs, Shareholders of >25%, Directors and Authorised Signatories ("**INDIVIDUAL REQUIREMENTS**")

**Valid and current Government Issued Photo Identification (copied in colour)**

- Preferably a passport
- ID Card
- Driving License
- Primary Proof of Residential Address (Utility bill - Electricity, Water, Gas, Landline (not mobile), Cable TV or ADSL, Tax return or certificate, Municipal Tax or equivalent)
- Secondary Proof of residential address when more than one is required for EDD - bank statement, certificate of insurance relating to the provision of cover for the property address  
All documents must be dated within 90 days of the application date
- N.B - where ID/PoA documents as specified above cannot be provided in certified form, please provide 2 separate forms of Photo ID and 2 separate Proof of Address documents  
In countries or cities where the Utility bills are sent to a P.O. Box as Primary Residential Address:
- Proof of confirming actual physical address (current Tenancy Agreement, current Lease, Mortgage, Tax certificate, Municipal Tax or property payment demand, or Legal Counsel/Notary certified statement confirming the address), or;

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- **Second Proof of Address**
- **Completed residence form confirming actual physical address**

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