

CLIENT APPLICATION FORM – CORPORATE

Dear Client,

Please fill in the below Application Form (the “Application Form”), sign and return it to newaccounts@cptmarkets.co.uk. This Application Form and the information contained herein constitute an integral part of our account opening process. Should any of the details specified below change, please notify us immediately and arrange for the new Application Form to be provided to us as soon as possible. Any capitalised terms used herein shall have the meaning ascribed to them in the Terms & Conditions entered or about to be entered into between you and CPT Markets UK (“CPT UK”, “Firm”, “us”, “our”, “we”).

This Application Form and the information provided herein will form part of your Terms & Conditions with CPT UK, should both parties agree to proceed with the opening of an account. Before completing the Application Form, please ensure that you have obtained and read the information regarding the products and services provided by CPT UK along with all relevant terms and policies made available on our website <https://www.cptmarkets.co.uk/support/legal-documents/>.

PLEASE TICK THE APPROPRIATE BOX. I AM APPLYING TO OPEN AN ACCOUNT AS AN:

PER SE PROFESSIONAL CLIENT
 ELECTIVE PROFESSIONAL CLIENT

1. COMPANY DETAILS

Name of Company:..... Date of Registration (dd/mm/yyyy):.....

Nature of Business..... Country of Registration:.....

Website Address:..... Legal Entity Identifier No:.....

Company Telephone No:..... Tax Identification No:.....

Company Registration No:.....

Is the Company regulated by a Financial Services Regulator? Yes No

Please state the name of the regulator if ‘Yes’:

Is the Company listed on a Regulated Stock exchange? Yes No

Please state the name of the Exchange if ‘Yes’:

Is the Company based in the USA? Yes No

If the Company is based within the European Union (“EU”), please provide the VAT number:.....

REGISTERED OFFICE ADDRESS: - as per your company registration documents. if you do not provide us with a principal business address below, we will use this address for postal communication purposes.

Address Line 1:..... Region:.....

Address Line 2:..... Postcode / Zipcode:.....

Town / City:..... Country:.....

PRINCIPAL BUSINESS ADDRESS – please provide this only if different from registered address. we will use for communication purposes unless you inform CPT UK to the contrary.

Address Line 1:..... Region:.....
Address Line 2:..... Postcode / Zipcode:.....
Town / City:..... Country:.....

2. CLIENT CLASSIFICATION INFORMATION

- 2.1 Does the Company have a balance sheet total of at least €20,000,000 or equivalent? Yes No
- 2.2 Does the Company have its own funds of at least €20,000,000 or equivalent? Yes No
- 2.3 Does the Company have a net turnover of at least €40,000,000 or equivalent? Yes No
- 2.4 IF YOU ANSWERED 'NO', **TO TWO OR MORE** OF THE ABOVE QUESTIONS, PLEASE COMPLETE THE FOLLOWING:
 - 2.4.1 Has the Company traded, in significant size, in transferrable securities at an average frequency of 10 transactions per quarter over the previous 4 quarters? Yes No
 - 2.4.2 If the answer to 2.4.1 is 'Yes', **PLEASE TICK THE TOP TRANSFERRABLE SECURITIES YOU HAVE TRADED IN THE MOST:**
 Fixed Income Shares Futures & Options
 Other; please give details:.....
 - 2.4.3 Is the size of your financial instrument portfolio, defined as including cash deposits and financial instruments, in excess of €500,000 (or equivalent in your local currency)? Yes No
 - 2.4.4 Have your authorised persons (as per Section 8 below) work or have you worked in the financial sector for at least one year in a professional position which requires knowledge and familiarity of the transactions and services to be provided by CPT UK? Yes No

3. COMPANY BANK DETAILS

Beneficiary Name:..... Sort Code:

Bank Name:..... IBAN:.....

Bank Address:..... SWIFT Code:.....

Account Number:..... BIC Code:.....

The currency of the main account? (Default currency will be USD if left blank) USD EUR GBP

4. INTIAL FUNDING EXPECTATION

With how much money do you intend to fund your account (initial amount)?

Please specify the currency USD EUR GBP

5. COMPANY SHAREHOLDERS

PLEASE PROVIDE DETAILS OF **ALL SHAREHOLDERS OWNING 25% OR MORE** OF THE SHARES OR VOTING RIGHTS.

SHAREHOLDER 'A' – IS THIS PERSON ALSO A DIRECTOR?	<input type="checkbox"/> YES <input type="checkbox"/> NO
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<u>NATURAL PERSON</u>	<u>LEGAL ENTITY</u>
Full Name:	Company Name:
Date of Birth (dd/mm/yyyy):	Incorporation Date:
Residential Address:	Registered Address:
Postcode:	Postcode:
Country:	Country:
Percentage (%) of shareholding and/or votes:	

SHAREHOLDER 'B' – IS THIS PERSON ALSO A DIRECTOR?	<input type="checkbox"/> YES <input type="checkbox"/> NO
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<u>NATURAL PERSON</u>	<u>LEGAL ENTITY</u>
Full Name:	Company Name:
Date of Birth (dd/mm/yyyy):	Incorporation Date:
Residential Address:	Registered Address:
Postcode:	Postcode:
Country:	Country:
Percentage (%) of shareholding and/or votes:	

SHAREHOLDER 'C' – IS THIS PERSON ALSO A DIRECTOR?	<input type="checkbox"/> YES <input type="checkbox"/> NO
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<u>NATURAL PERSON</u>	<u>LEGAL ENTITY</u>
Full Name:	Company Name:
Date of Birth (dd/mm/yyyy):	Incorporation Date:
Residential Address:	Registered Address:
Postcode:	Postcode:
Country:	Country:
Percentage (%) of shareholding and/or votes:	

If you need to include details of any additional Shareholders, please supply an extra sheet of paper.

6. DIRECTORS

PLEASE PROVIDE DETAILS OF ALL EXECUTIVE AND NON-EXECUTIVE DIRECTORS, IF NOT ALREADY LISTED AS SHAREHOLDERS:

DIRECTOR 'A'

NATURAL PERSON

LEGAL ENTITY

Full Name:

Company Name:

Date of Birth (dd/mm/yyyy):

Incorporation Date:

Residential Address:

Registered Address:

Postcode:

Postcode:

Country:

Country:

DIRECTOR 'B'

NATURAL PERSON

LEGAL ENTITY

Full Name:

Company Name:

Date of Birth (dd/mm/yyyy):

Incorporation Date:

Residential Address:

Registered Address:

Postcode:

Postcode:

Country:

Country:

DIRECTOR 'C'

NATURAL PERSON

LEGAL ENTITY

Full Name:

Company Name:

Date of Birth (dd/mm/yyyy):

Incorporation Date:

Residential Address:

Registered Address:

Postcode:

Postcode:

Country:

Country:

If you need to include details of any additional Directors, please supply an extra sheet of paper.

7. COMPANY TRADING OBJECTIVES

What is / are your investment objective(s)? (Please select at least one)

- Hedging / Risk Mitigation
 Speculation / Speculative Investing
 Capital Appreciation
 Additional Income
 Capital Preservation
 Other, please specify:.....

8. CLIENTS AUTHORISED PERSON – this section must be completed by the person authorised by the client to give instructions to CPT UK, to trade and settle orders, deposit or withdraw money from the clients account and undertake all other account related activities.

AUTHORISED PERSON 'A'

Full Name:

Telephone Number:.....

Email Address:.....

Signature Sample:.....

8.1 How many years of trading experience in any financial instrument, do you have? <1 Year 1 to 3 Years >3 Years

8.2 How many years of trading experience do you have in transferrable securities? <1 Year 1 to 3 Years >3 Years

8.3 What, if any, products have you traded in a live environment (where you made the final trade decision) in the last 12 months?

PLEASE TICK ALL RELEVANT:

Shares

Fixed Income

Futures & Options

- | | | |
|---|---|---|
| <input type="checkbox"/> Often (at least 10 times a month) | <input type="checkbox"/> Often (at least 10 times a month) | <input type="checkbox"/> Often (at least 10 times a month) |
| <input type="checkbox"/> Sometimes (at least 3 times a month) | <input type="checkbox"/> Sometimes (at least 3 times a month) | <input type="checkbox"/> Sometimes (at least 3 times a month) |
| <input type="checkbox"/> Rarely (Less than once a month) | <input type="checkbox"/> Rarely (Less than once a month) | <input type="checkbox"/> Rarely (Less than once a month) |

8.4 What is your highest level of education? University Secondary Primary None

8.5 If you have a university education, what was the field of your study?.....

8.6 What is / are your investment objective(s)? (Please select at least one)

- Hedging / Risk Mitigation
 Speculation / Speculative Investing
 Capital Appreciation
 Additional Income
 Capital Preservation
 Other, please specify:.....

AUTHORISED PERSON 'B'

Full Name:

Telephone Number:

Email Address:

Signature Sample:

8.1 How many years of trading experience in any financial instrument, do you have? <1 Year 1 to 3 Years >3 Years

8.2 How many years of trading experience do you have in transferrable securities? <1 Year 1 to 3 Years >3 Years

8.3 What, if any, products have you traded in a live environment (where you made the final trade decision) in the last 12 months?

PLEASE TICK ALL RELEVANT:

Shares

Fixed Income

Futures & Options

Often (at least 10 times a month)

Often (at least 10 times a month)

Often (at least 10 times a month)

Sometimes (at least 3 times a month)

Sometimes (at least 3 times a month)

Sometimes (at least 3 times a month)

Rarely (Less than once a month)

Rarely (Less than once a month)

Rarely (Less than once a month)

8.4 What is your highest level of education? University Secondary Primary None

8.5 If you have a university education, what was the field of your study?

8.6 What is / are your investment objective(s)? (Please select at least one)

Hedging / Risk Mitigation Income

Speculation / Speculative Investing

Capital Appreciation

Additional

Capital Preservation

Other, please specify:

AUTHORISED PERSON 'C'

Full Name:

Telephone Number:

Email Address:

Signature Sample:

8.1 How many years of trading experience in any financial instrument, do you have? <1 Year 1 to 3 Years >3 Years

8.2 How many years of trading experience do you have in transferrable securities? <1 Year 1 to 3 Years >3 Years

8.3 What, if any, products have you traded in a live environment (where you made the final trade decision) in the last 12 months?

PLEASE TICK ALL RELEVANT:

Shares

Fixed Income

Futures & Options

Often (at least 10 times a month)

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8.6 What is / are your investment objective(s)? (Please select at least one)

Hedging / Risk Mitigation

Speculation / Speculative Investing

Capital Appreciation

Additional Income

Capital Preservation

Other, please specify:

If you need to include details of any additional signatories, please supply an extra sheet of paper.

9. DECLARATION

We confirm and declare that we have:

Read and understood all the questions in this application and confirm that all information provided herein are true and accurate; and

Undertake to inform CPT UK of any changes to the information provided herein without delay and provide a new Application Form as soon as possible after any such change has taken place; and

Agree that the information contained in this form and information regarding the client and the client's accounts with CPT UK may be reported to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which I, the client, may be tax resident pursuant to intergovernmental agreements to exchange financial account information with the country/ies in which this account(s) is/are maintained; and

I have been provided with and/or given access to all of the below documents which I have read, understood, and agree with unequivocally:

- a) CPT UK Risk Warning Policy; and
- b) CPT UK Best Execution Policy; and
- c) CPT UK Conflicts of Interest Policy; and
- d) CPT UK Data Protection and Privacy Policy; and
- e) CPT UK Loss of Protection Notice.

By signing here below, I hereby agree to be bound by the terms of the Terms & Conditions and its supportive documentation (as amended from time to time) which also includes all policies and notices listed hereabove in this this Application Form.

Full Name:

Signature:

Date (dd/mm/yyyy):

APPENDIX A

DOCUMENTATION SUPPORTING THE APPLICATION FORM - CORPORATE

Prospective corporate clients are required to submit the necessary and appropriate documentary evidence with their application form to enable CPT UK to undertake its required legal and regulatory duties and procedures, including identity verification and also for related security and crime-prevention purposes and records. This is necessary for CPT UK to understand the constitution, legal structure and business and the underlying ownership and control of the client.

The following standard documentation must be submitted (with an official English translation if necessary) for any corporate client:

1. **Memorandum & Articles of Association**
2. **Certificate of Incorporation**
3. **Group/Company structure** detailing all connected entities and legal/beneficial owner(s) and the Board structure of the corporate client
4. The client will also be required to provide evidence that all and any person(s) expected to deal with CPT UK are properly authorised to act for the client e.g., **authorised signatory details supported by Board resolution.**

All Members of the Board of Directors, the Shareholders, as well as any authorised persons by the Client are expected to provide at least one of the 'PRIMARY' and at least one of the 'SECONDARY' documents listed below. The documents must be in their sole name(s), be currently valid (and in the case of Secondary documents less than 3 months old):

PRIMARY Government issued (photo) documents	SECONDARY* Other public sector and/or regulated body (non-photo) documents
Passport	Utility statement or bill
Diving Licence (digitally produced)	Bank Statement (in their sole name)
National Identity Card (digitally produced)	Tax authority statement

Due to the inherently remote and non-face-to-face nature of any business relationship with CPT UK, clients will not be expected to submit certain documentation in its original form. In such cases CPT UK will accept copies which are clear, true and/or in color which if requested, will need to be properly stamped and certified as true copies of the original by a suitable person such as a practicing lawyer, accountant or other similar qualified professional individual.

CPT UK retains the right to determine at its own discretion the acceptance of all relevant documentation provided, and in the event of being unable to provide the above standard of client documentation CPT UK should