

# SAXO BANK CLIENT APPLICATION FORM

For Introducing Broker clients

## 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

- A copy of your valid and signed passport
- 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

### B CORPORATE CLIENTS

- A copy of the certificate of incorporation
- Articles of association appropriately signed
- Documentation on who can sign on behalf of the corporate entity (authorised signatories)
- Copies of passports belonging to the authorised signatories to verify signatures

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 +45 39 77 42 00.

#### Email

Scan the form together with the documentation and email it to [ib-contracts@saxobank.com](mailto:ib-contracts@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  
Philip Heymans Allé 15  
DK - 2900 Hellerup  
Denmark  
Att. Contract Administration

For any questions related to the completion of this form or required documents to submit, please contact your **Introducing Broker**.

# SAXO BANK CLIENT APPLICATION FORM

## For Introducing Broker clients

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 DETAILS	
<b>Introducing Broker:</b>	
<b>Full name (First name + Surname):</b>	
<b>Registered address:</b>	
<b>City/Zip code:</b>	
<b>State/Province:</b>	<b>Country:</b>
<b>Postal address (if different):</b>	
<b>City/Zip code:</b>	
<b>State/Province:</b>	<b>Country:</b>
<b>Phone (private):</b>	<b>Fax (private):</b>
<b>Phone (work):</b>	<b>Fax (work):</b>
<b>Phone (mobile):</b>	<b>E-mail (required):</b>

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> <ul style="list-style-type: none"><li><input type="checkbox"/> Capital preservation / hedging (Minimize the potential for any loss of principal)</li><li><input type="checkbox"/> Growth (Increase investment value over time while accepting price fluctuations)</li><li><input type="checkbox"/> Speculation (Assume the highest degree of risk for potentially higher returns)</li></ul>

# SAXO BANK CLIENT APPLICATION FORM

For Introducing Broker clients

## 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. Please list below:**

- 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 fill in name, registered address, city/zip code, state/province and country:

1. \_\_\_\_\_  
\_\_\_\_\_
2. \_\_\_\_\_  
\_\_\_\_\_
3. \_\_\_\_\_  
\_\_\_\_\_
4. \_\_\_\_\_  
\_\_\_\_\_

Please tick the box if no individual qualifies under the bullet points above.

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

**PART 6 | CHOICE OF ACCOUNT**

**Account Type:**

- SaxoWebTrader
- SaxoTrader
- Saxo MiniTrader

**Minimum deposit**

- \$ 10,000\*
- \$ 10,000\*
- \$ 2,000\*

**Choice of account currency:**

\_\_\_\_\_

To read more about the different types of accounts please visit our website [www.saxobank.com](http://www.saxobank.com).

\*Or currency equivalent

**PART 7 | SIGNATURE**

**I/We declare by my/our signature(s):**

- To have read, understood and agreed to the General Business Terms (including the Risk Disclosure Statement) and all of its contents;
- To understand and accept that the General Business Terms and any other relevant terms and conditions (as amended from time to time) apply to my/our entire trading relationship with Saxo Bank;
- To have received, read and understood the product information material relating to the relevant products;
- To have received additional in-depth verbal information about the products and the inherent possibilities and risks if so requested; and
- To have received satisfactory answers to all my/our questions regarding the terms, conditions and other issues relating to the relevant products.

**Furthermore I/we confirm:**

- That the information provided by me/us and inserted in this form is correct;
- That the investment amount has been chosen by me/us taking my/our total financial circumstances into consideration and is by me/us considered reasonable under such circumstances;
- That I/we acknowledge that Saxo Bank is only able to provide advice to such effect, provided that I/we have supplied Saxo Bank with correct and adequate information in this Client Application Form or as otherwise requested by Saxo Bank; and
- That Saxo Bank is entitled to send newsletters or other investment material to me/us by e-mail, sms or similar electronic messaging services, and that I/we must inform Saxo Bank in writing or otherwise, if I/we do not wish to receive such material.

**I/We acknowledge and agree that personal information submitted by me/us to Saxo Bank A/S:**

- May be shared with any duly licensed financial entity within the Saxo Bank Group (as defined on [www.saxobank.com](http://www.saxobank.com)) in accordance with the Danish Act on Processing of Personal Data.
- May be used by any entity within the Saxo Bank Group for the purpose of providing trade recommendations, trading activities, sales and marketing information including new products and services; and
- May be shared with any Introducing Broker for the purpose of completing the due diligence and approving my/our application.

**Date:**

**Signature:**

**SERIOUS TRADING. WORLDWIDE.**