

# SAXO BANK CLIENT APPLICATION FORM

## INSTRUCTIONS FOR COMPLETION

1	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 and the Risk Disclosure Statement.
2	Please complete all information as accurately as possible.
3	Please write in block capital letters with a black or blue pen.
4	To comply with money laundering regulation, you are required to send in the following documentation ( <i>A or B as applicable</i> ) along with the form:

A	INDIVIDUAL 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 <b>or</b> a bank statement or utility bill issued in your name within the previous 6 months</li></ul>	

B	CORPORATE CLIENTS
<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:<ul style="list-style-type: none"><li>• Authorised signatories to verify signatures</li><li>• Individuals listed under part 5</li></ul></li></ul>	

5	<p>For <b>fast processing</b>, please return the completed form along with the above mentioned documentation to us by either:</p> <p><b>Fax</b> Fax a copy of the form together with the documentation to +45 39 77 47 00. (If you were introduced by an Introducing Broker, please use +45 39 77 42 00)</p> <p><b>Email</b> Scan the form together with the documentation and email it to <a href="mailto:contracts@saxobank.com">contracts@saxobank.com</a> (If you were introduced by an Introducing Broker, please use <a href="mailto:ib-contracts@saxobank.com">ib-contracts@saxobank.com</a>)</p> <p>Please note that if you send in your application via email or fax, you still need to submit the original form within 14 days, via standard mail.</p>
6	<p>Send the application by regular mail together with the documentation to:</p> <p>Saxo Bank A/S Smakkedalen 2 DK-2820 Gentofte Denmark Att. Contract Administration</p>
7	<p>Detailed information on how to transfer funds can be found in the enclosed "Settlement Instructions" or on our website: <a href="http://www.saxobank.com">www.saxobank.com</a></p>

Do you have any questions related to the completion of the form or which documents to submit?  
Please contact us on **+45 39 77 40 07** or [privatesales@saxobank.com](mailto:privatesales@saxobank.com)

# SAXO BANK CLIENT APPLICATION FORM

**Saxo Bank** is required by law to obtain information about its clients' financial position, investment experience and investment objectives in order to provide the services requested in the best interest of the clients.

**All clients** must complete Part 1, Part 2 and Part 6 of the Application Form.

**Individual Clients** must furthermore complete Part 3, and **Corporate Clients** must complete Part 4 and Part 5.

PART 1   GENERAL CLIENT DETAILS	
<b>Full name:</b>	
<b>Registered address:</b>	
<b>City/Zip code:</b>	
<b>State/Province:</b>	<b>Country:</b>
<b>Mailing 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   INVESTMENT EXPERIENCE	
<b>A   Would you consider yourself</b> <input type="checkbox"/> A professional investor <input type="checkbox"/> An experienced investor <input type="checkbox"/> An inexperienced investor	<b>B   Would you consider yourself</b> <input type="checkbox"/> Risk willing <input type="checkbox"/> Risk neutral <input type="checkbox"/> Risk averse
<b>C   Products in which you have previously invested</b> <input type="checkbox"/> Futures <input type="checkbox"/> Options <input type="checkbox"/> Foreign exchange <input type="checkbox"/> Stocks <input type="checkbox"/> CFDs / stocks on margin <input type="checkbox"/> Bonds / fixed income <input type="checkbox"/> Real estate <input type="checkbox"/> Other:	
<b>D   Trading objectives</b> <input type="checkbox"/> To attempt to achieve speculative gains <input type="checkbox"/> To hedge other investments <input type="checkbox"/> To hedge commercial risk	
<b>E   The products at Saxo Bank A/S of interest to you</b> <input type="checkbox"/> Foreign exchange <input type="checkbox"/> Options <input type="checkbox"/> CFDs / stocks on margin <input type="checkbox"/> CFD exchange direct market access <input type="checkbox"/> Bonds / Fixed income <input type="checkbox"/> Futures <input type="checkbox"/> International stocks <input type="checkbox"/> Managed funds	

### PART 3 | INDIVIDUAL DISCLOSURE

**Only to be completed by Individual Clients.** *(Corporate Clients please complete Part 4 and Part 5)*

#### Financial information

Preferred base currency for your account:

Annual income stated in base currency:

Net worth stated in base currency (excluding primary residence):

Approximate risk capital stated in base currency:

#### Please choose which type of account you require.

*(For additional information on the difference between the 2 accounts please visit our website)*

**Saxo MiniTrader account**  
Minimum deposit \$2,000\*

**SaxoTrader account**  
Minimum deposit \$10,000\*

\*or currency equivalent

### PART 4 | CORPORATE DISCLOSURE

**Only to be completed by Corporate Clients.** *(Individual Clients please complete Part 3)*

#### Directors and Officers

Number of board members:

Chairman/president:

Managing director/vice president:

Secretary/treasurer:

Additional director(s):

#### Financial Information

Preferred base currency for your company account:

Equity capital stated in base currency:

Approximate risk capital stated in base currency:

### PART 5 | CORPORATE OWNERSHIP

**In order to comply with FATF- and EU-regulation on Anti Money Laundering all credit institutions in the EU must establish the identity of selected private individuals connected to the corporate entity that applies for an account. For instance, private individuals who ultimately own 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 market place.
- Individuals who in other ways (than mentioned above) exercise control over the management of the company.

**PART 5 | CORPORATE OWNERSHIP *continued...***

- Individuals who according to the articles of the fund or otherwise are entitled to receive 25% or more of the distributed funds or other assets of a fund or a similar legal arrangement, assuming these persons are known.
- The group of 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.

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

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

**In order to identify the individuals please enclose a copy of each individual's valid passport.**

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

**PART 6 | 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;
- 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;
- 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.

Date:

Signature:

**SERIOUS TRADING. WORLDWIDE.**