REGENTS PARK SECURITIES

Professional Investor Account Documentation Requirements

Thank you for your interest in opening an account with Regents Park Securities Ltd.

We are pleased to assist with the account opening process to make it as straightforward as possible.

To apply for a professional investor account, please provide the following documents.

1. Identification

- **Identification:** Copies of your primary and secondary identification
    - **Primary:** A national government–issued identification document such as a passport or national ID card.
    - **Secondary:** Any other government–issued identification, such as a driver's license or another photo ID.
- **Proof of address:** Copies of official documents showing your current residential address, such as a utility bill or driver's license (if it includes your current address).
    - Proof of address must be dated within six months of the application date.
    - In some cases, a second proof of address may be required.
- **Bank account verification:** A copy of the bank statement for the account listed in the application for wire withdrawals (the address must match the address on file).

2. CRS Form – Applicable Tax Information

- Individual CRS Self-Certification Form

3. Professional Qualification

In COBS 3.5.3(2), the FCA requires that elective professional clients fulfil at least two of the following criteria:

a. The client has carried out transactions, in significant size, on the relevant market at an average frequency of 10 per quarter over the previous four quarters.
b. the size of the client's financial instrument portfolio, defined as including cash deposits and financial instruments, exceeds EUR 500,000;
c. the client works 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.

To fulfil these requirements, please submit at least two of the following:

a. Investment portfolio statements evidencing the types, frequency and sizes of transactions undertaken over the previous four quarters.

Authorised and regulated by the Financial Conduct Authority. Firm reference no: 767767.
Regents Park Securities is a limited company registered in England and Wales. Registered number: 10094274.
Registered office address: 77 New Cavendish Street, London, United Kingdom, W1W 6XB.

b. Investment portfolio and/or Bank statements evidencing the size of your investment portfolio.
c. a curriculum vitae or an attestation affirming work in a relevant professional position for at least one year.

4. Account Forms

- Signed and completed account application form.
- Signed and completed professional client classification form.

5. Other Documentation

- IRS form W-8BEN, required for trading in US markets.
- If you are a registered person with a financial services regulator, please provide documentation from the regulator indicating your roles and permissions.
- If you are considered a Politically Exposed Person (PEP), please include supporting documentation.

Please provide any documentation submitted electronically in PDF format.

Once again, thank you for your interest in Regents Park Securities and we look forward to opening your account expeditiously.

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