Entity Information

Full Name of Applicant Entity	
Trading Name (if different)	
Country of Incorporation or Organisation	
Date of Incorporation or Organisation	/ / (dd/mm/yyyy)
Company Registration Number	
LEI Code	

A Legal Entity Identifier (LEI) code is a 20-character reference code to uniquely identify legally distinct entities that engage in financial transactions and associated reference data. If you do not have an LEI code, we can obtain one for you. Please note 'Request LEI' here if you would like us to provide you with this service. We are required to have an LEI code for each corporate account.

Address and Telephone

Street Address Line 1	
Street Address Line 2	
City	
State/Province	
Postal Code	
Country	
Telephone Number	+ - Include Country Code
Website Address	

Nature of Business

Nature of Entity's Business	
Is the entity regulated for the provision of financial services?	☐ No ☐ Yes
If YES, name of regulator	
Regulatory Identification Number	
Is the entity or a subsidiary listed or traded on a stock exchange?	☐ No ☐ Yes
If YES, name of exchange	
Name of listed entity	

Purpose of Account

Investment	☐
Hedge Speculative Gains	☐
Hedge Against Investment or Trade Risks	☐
Dealing for Clients	☐
Other	☐
If Other, please describe	

Proposed Investments

Equities	☐
Futures	☐
Options	☐
Bonds	☐
Other	☐
If Other, please describe	

Trading Experience

To be provided in respect of those individuals who will issue instructions on the account.

To what extent over the last 3 years have you traded in the following:

Securities such as shares and bonds

Never	☐
Rarely (1 to 10 times p.a.)	☐
Occasionally (10 to 50 times p.a.)	☐
Frequently (more than 50 times p.a.)	☐

Exchange derivatives such as futures and options

Never	☐
Rarely (1 to 10 times p.a.)	☐
Occasionally (10 to 50 times p.a.)	☐
Frequently (more than 50 times p.a.)	☐

Do you have educational, professional qualifications or work experience that you consider allows you fully to understand the risks of our products and services?	☐ No ☐ Yes
If Yes, please provide details	

Bank Details

In most cases, RPS requires that you provide us with your bank account details at the time of opening an account. At our discretion, we may open an account without these details, such as when you deliver in securities only. In such a case, bank account details may be provided at a later date, however they are subject to the same requirements.

To receive in or transfer out cash from or to a bank account, the following requirements must be met:

Corporate Clients - Sole Ownership

We will only accept and/or send funds from/to a bank account which meet one of the following criteria:

1. The bank account name is in the corporate name of the corporate account at RPS
2. The bank account name is in the personal name of the sole beneficiary of the corporate account at RPS

Corporate Clients - Multiple Owners

We will only accept and/or send funds from/to a bank account where the bank account name is in the corporate name of the corporate account at RPS. For the avoidance of doubt, we cannot accept and/or send funds from/to accounts in individual names or joint accounts in individual names, even if these names are beneficiaries of the corporate account at RPS.

At our discretion, RPS reserves the right to request further documentation to evidence the ownership of any bank account. This may include, but is not necessarily limited to, account statements or other identifying information for the account.

Please note that screenshots of online banking systems are not acceptable.

IBAN/BIC numbers are required when sending funds back to your bank.

Account Name	
Bank Name	
Bank Street Address Line 1	
Street Address Line 2	
City	
State/Province	
Postal Code	
Country	
Account Number	
Sort Code (UK banks only)	
IBAN	
SWIFT/BIC	
Intermediary Bank Name	
Intermediary Swift Code	

Main Contact and Controlling Persons

Controlling Persons are the natural persons who exercise control over an entity. For the purposes of this application, please provide details of any person who ultimately owns or controls or has a beneficial interest in at least 20% of the entity. Persons with less than 20% ownership do not need to be disclosed in this form however we may ask for their details if required.

For classification purposes a natural person (individual) who ultimately owns or controls or has a beneficial interest in at least 25% of the entity (that is, an "ultimate beneficial owner") is one Type of Controlling Person, exercising Control Through Ownership.

A fuller explanation is provided in the notes. Please confirm ALL countries of tax residence and all Tax Identification Numbers/ Functional Equivalent ("TIN") for EACH Controlling Person.

Please also provide the same information on the main contact for the application.

Main Contact for Application

First Name	
Last Name	
Street Address Line 1	
Street Address Line 2	
City	
State/Province	
Postal Code	
Country	
Telephone Number	+ - Include Country Code
Email Address	
Date of Birth	/ / (dd/mm/yyyy)
Place of Birth	
Country of Tax Residence	
Ultimate Beneficial Ownership as a percentage	%
Type of Control (if relevant)	

If ultimate beneficial ownership is >25%, Type of Control is likely to be "Control Through Ownership"

Controlling Person 1

First Name	
Last Name	
Street Address Line 1	
Street Address Line 2	
City	
State/Province	
Postal Code	
Country	
Telephone Number	+ - Include Country Code
Email Address	
Date of Birth	/ / (dd/mm/yyyy)
Place of Birth	
Ultimate Beneficial Ownership as a percentage	%
Type of Control (if relevant)	

If ultimate beneficial ownership is >25%, Type of Control is likely to be "Control Through Ownership"

Controlling Person 2

First Name	
Last Name	
Street Address Line 1	
Street Address Line 2	
City	
State/Province	
Postal Code	
Country	
Telephone Number	+ - Include Country Code
Email Address	
Date of Birth	/ / (dd/mm/yyyy)
Place of Birth	
Ultimate Beneficial Ownership as a percentage	%
Type of Control (if relevant)	

If ultimate beneficial ownership is >25%, Type of Control is likely to be "Control Through Ownership"

Controlling Person 3

First Name	
Last Name	
Street Address Line 1	
Street Address Line 2	
City	
State/Province	
Postal Code	
Country	
Telephone Number	+ - Include Country Code
Email Address	
Date of Birth	/ / (dd/mm/yyyy)
Place of Birth	
Ultimate Beneficial Ownership as a percentage	%
Type of Control (if relevant)	

If ultimate beneficial ownership is >25%, Type of Control is likely to be "Control Through Ownership"

Directors

Please identify the directors of the entity.

Director 1

First Name	
Last Name	
Street Address Line 1	
Street Address Line 2	
City	
State/Province	
Postal Code	
Country	
Date of Birth	/ / (dd/mm/yyyy)
Place of Birth	

Director 2

First Name	
Last Name	
Street Address Line 1	
Street Address Line 2	
City	
State/Province	
Postal Code	
Country	
Date of Birth	/ / (dd/mm/yyyy)
Place of Birth	

Director 3

First Name	
Last Name	
Street Address Line 1	
Street Address Line 2	
City	
State/Province	
Postal Code	
Country	
Date of Birth	/ / (dd/mm/yyyy)
Place of Birth	

Director 4

First Name	
Last Name	
Street Address Line 1	
Street Address Line 2	
City	
State/Province	
Postal Code	
Country	
Date of Birth	/ / (dd/mm/yyyy)
Place of Birth	

Acknowledgements and Declarations

Best Execution Policy

I acknowledge receipt of and agree to Regents Park Securities Ltd. Best Execution Policy.	☐ No ☐ Yes
Initial here	

Terms of Business

I acknowledge receipt of and agree to Regents Park Securities Ltd. Terms of Business.	☐ No ☐ Yes
Initial here	

Classification as an Elective Professional Client

I acknowledge that I have read and understood the classification as an elective professional client document	☐ No ☐ Yes
By signing here, I acknowledge that I request to be treated as a professional client and I am aware of the consequences of losing Retail Client protections	Signature

Declarations

I hereby certify that the information provided above is true, accurate and complete.	☐ No ☐ Yes
I acknowledge and agree on my behalf, and on behalf of the account holder/applicant and each identified Controlling Person and director:(i) that the information contained in this form, including information about the account holder and identified directors and Controlling Persons may be shared with domestic and/or overseas regulators or tax authorities; (ii) to notify Regents Park Securities Ltd. ("RPS") within 30 calendar days if there is any change to the information provided; (iii) that RPS may make anti-money laundering, credit reference and other relevant checks about me and any other persons named in the application and may collect, process and transmit personal information about me/us as set out in its Privacy Policy and Terms of Business and I confirm I have permission from those other persons to provide this information. This may include, but is not limited to, collection of and using such information relevant to the operation of the account, providing information to any person who has introduced me/us to RPS, and transferring of personal information to service providers, including overseas; (iv) that RPS may require documentary evidence to confirm or verify the information provided; (v) that where required by tax authorities, RPS may withhold and pay out from the account such amounts as may be required according to applicable laws, regulations, agreements with regulators or authorities and directives.	☐ No ☐ Yes
I confirm the applicant consents to the execution of its orders outside a regulated market or Multilateral Trading Facility (MTF)	☐ No ☐ Yes

I hereby acknowledge that any regulatory filing requirements are solely the entity's responsibility and the entity is not reliant upon Regents Park Securities Ltd. for any assistance or advice in regard to regulatory filings it may be required to undertake in a foreign jurisdiction.	☐ No ☐ Yes
I hereby acknowledge that any tax obligations the entity may have are solely the entity's responsibility, that I have sought professional tax counsel and that I am not reliant upon Regents Park Securities Ltd. for taxation advice.	☐ No ☐ Yes
I certify that I am authorised to sign for the applicant and have full power and authority to make the statements and enter into the agreements above on behalf of the applicant and others and will demonstrate this on request	☐ No ☐ Yes
Have you been politically exposed? If the response is affirmative, please provide further details:	☐ No ☐ Yes

_____

Signature

_____

Date	/ / (dd/mm/yyyy)
For and on behalf of	
Capacity in which signing	

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. VAT Registration 287 8398 27.