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 a 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 a 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	

Controlling Persons

Controlling Persons are the natural persons who exercise control over an entity. For the purpose 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 full 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.

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	
Country of Tax Residence	
Tax Information Number	
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	
Country of Tax Residence	
Tax Information Number	
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	
Country of Tax Residence	
Tax Information Number	
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

Terms of Business

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

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 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 do so. This may include, but is not limited to, the collection of and use of such information relating to the operation of the account, providing information to any person who has introduced me/us to RPS and transferring 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 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 any 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
Have any of the directors or controlling persons of the entity been politically exposed? (If the response is affirmative please provide further details).	☐ 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 any others and will demonstrate this on request	☐ 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.