



SUCDEN FINANCIAL LIMITED ACCOUNT OPENING FORM

for

COMPANIES

Under the rules of the Financial Conduct Authority, we are required to obtain certain information before we can open an account for you. It is important, therefore that you complete **all** sections of this form. If you have any queries please call one of our account executives who will be pleased to help you.

SUCDEN FINANCIAL LIMITED

Plantation Place South, 60 Great Tower Street, London EC3R 5AZ

Telephone: +44 (0) 20 3207 5000 Facsimile: +44 (0) 20 3207 5010
e-mail: documentation@sucfin.com website: www.sucdenfinancial.com

Authorised and Regulated by the Financial Conduct Authority

Please write clearly in block capitals. If you have any queries, please contact one of our account executives on telephone No.: 0044 (0)20 3207 5000.

1 Registered details of the Company

Full Company name ("the Company")

Registered number: _____

Date of incorporation: ____/____/____
(dd/mm/yyyy)

Country of incorporation _____

Trading name: _____

Number of employees: _____

Date Trading Commenced: ____/____/____
(dd/mm/yyyy)

Registered Office

Street / No. _____

Town/City _____

Postcode _____

Country _____

Telephone _____

E-mail address _____

2 Communication with the Company

Trading Address / Correspondence Address

(if different from above)

(Please note we may need to see evidence of the trading address)

Street / No. _____

Town/City _____

Postcode _____

Country _____

Telephone _____

E-mail address _____

Company Contacts

Management Contact _____

Position _____

Telephone _____

E-mail address _____

Trading Contact _____

Position _____

Telephone _____

E-mail address _____

Company web-site:

E-mail address(es) for the receipt of daily trading statements:

Back office Contact _____

Position _____

Telephone _____

E-mail address _____

Compliance Contact _____

Position _____

Telephone _____

E-mail address _____

3	Status of the Company
----------	------------------------------

The following information is required to enable us to fulfil our obligations under the UK Money Laundering Regulations.

Is the Company regulated by the Financial Conduct Authority or country equivalent, or listed/quoted on a major Stock Exchange? YES ☐ NO ☐

If 'YES' please give name of Financial Regulator / Stock Exchange: _____

Authorisation number (if applicable): _____

Country of Regulator / Stock Exchange: _____

Is the Company's ultimate beneficial owner regulated or listed/quoted on a major Stock Exchange? YES ☐ NO ☐

If 'YES' please give the name of Regulator / Stock Exchange: _____

Authorisation number (if applicable): _____

Country of Regulator / Stock Exchange: _____

4	Directors of the Company
----------	---------------------------------

Details of all directors of the Company:

Name of Director	Residential Address of Director	Date of Birth

5	Ownership of the Company
----------	---------------------------------

Shareholder details of the company:

Name of Shareholder	Ownership Percentage

Shareholders who are corporate entities

If any shareholder is a corporate entity please provide a breakdown of the individual shareholdings of that company in the table below, along with a corporate group structure:

Name of Shareholder / Corporate Entity	Ownership Percentage

Please provide details of the source of funds that will be used as an initial deposit with Sucden Financial:

If the Company's source of funds is directly or indirectly from the ultimate beneficial owner(s) (UBOs), then please provide details of the UBOs source of wealth. A UBO is any natural person who directly or indirectly owns 25% or more of the Company:

6 Tax Residency Self-Certification

Regulations based on the OECD Common Reporting Standard ("CRS") require Sucden Financial Limited to collect and report certain information about an account holder's tax residency. If your tax residence is located outside the United Kingdom, we may be legally obliged to pass on the information in this form and other financial information with respect to your financial accounts to the UK tax authority ("HMRC") and they may exchange this information with tax authorities of another jurisdiction or jurisdictions pursuant to intergovernmental agreements to exchange financial account information.

If you do not understand any of the information in this section, please refer to the **Frequently Asked Questions document on the website at the following location:** www.sucdenfinancial.com/ClientDocumentation. As a financial institution, we are not allowed to give tax advice. If you have any questions about this section, or defining your tax residency status, please speak to your tax adviser or local tax authority.

Entity Type

Please provide the Account Holder's status by ticking **one** of the following boxes:

1. (a) Financial Institution – Investment Entity

- ☐ i. An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution (*Note: if ticking this box please also complete Part 2(2) below*)
- ☐ ii. Other Investment Entity

☐ (b) Financial Institution – Depository Institution, Custodial Institution or Specified Insurance Company

If you have ticked (a) or (b) above, please provide, if held, the Account Holder's Global Intermediary Identification Number ("GIIN") obtained for FATCA purposes.

. . .

- ☐ (c) Active NFE – a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation.

If you have ticked (c), please provide the name of the established securities market on which the corporation or Related Entity is regularly traded in the "Status of the Company" section on page 3 of this form.

- ☐ (d) Active NFE – a Government Entity or Central Bank
- ☐ (e) Active NFE – an International Organisation
- ☐ (f) Active NFE – other than (c) or (e) (*for example a start-up NFE or a non-profit NFE*)
- ☐ (g) Passive NFE

2. If you have ticked 1(a)(i) or 1(g) above, then please:

- a. Indicate the name of any Controlling Person (s) of the Account Holder:

- b. Complete a Controlling Persons Form for each Controlling Person

For guidance on what constitutes a "Controlling Person" for the purposes of this form, and why we are requesting this information, please refer to the Frequently Asked Questions document on the website at the following location: www.sucdenfinancial.com/ClientDocumentation

Country of Residence for Tax Purposes and related Taxpayer Identification Number or functional equivalent ("TIN")

Please complete the following table indicating (i) where the Account Holder is tax resident and (ii) the Account Holder's TIN for each Reportable Jurisdiction indicated.

If a TIN is unavailable please provide the appropriate reason A, B or C where appropriate:

Reason A – The country where I am liable to pay tax does not issue TINs to its residents

Reason B – The Account Holder is otherwise unable to obtain a TIN or equivalent number

Reason C – No TIN is required (*Note. Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction*)

	Country of Residence	TIN	If no TIN available enter Reason A, B or C
1			
2			

Please explain in the following boxes why you are unable to obtain a TIN if you selected Reason B above.

1	
2	

Non-US persons

Non-US persons who are natural or legal persons and who are not US citizens or other US persons may be subject to a US withholding tax on income received on US sources. **Accordingly, Non-US persons intending to trade in US products must provide a completed Form W-8BEN-E (Certificate of Status of Beneficial Owner for United States Tax Withholding and Reporting (Entities)) with this Account Opening Form.**

The Form W8-BEN-E can be found on the website at the following location: www.sucdenfinancial.com/ClientDocumentation. **A Form W8-BEN-E may not be appropriate for every type of non-US person.**

Please confirm here that any non-US persons have completed and supplied relevant Form W-8BEN with this Account Opening Form. If you do not intend to trade US products you should select N/A:

Yes ☐ No ☐ N/A ☐

US persons

US citizens or other US persons, including foreign nationals that are resident in the US, must complete and return a Form W-9 with this Account Opening Firm. The Form W-9 and instructions for completion can be found on the website at the following location: www.sucdenfinancial.com/ClientDocumentation. **US persons should carefully read the instructions before completing the Form W-9.**

Please confirm here that any US persons have completed and supplied a Form W-9 with this Account Opening Form.

Yes ☐ No ☐

7 Company Financials

Please provide a copy of the latest audited Report and Accounts of the Company, if unavailable then please provide unaudited management accounts.

Please note if you cannot provide audited or unaudited financials then you will need to provide verification of the financial position of the company.

8 The Company's principal bank details (alternatively please attach your standard settlement instructions)

Full Name of Bank: _____

Name of Bank Account: _____

Full Address: _____

A/C No.: _____ Country: _____

SWIFT / IBAN No.: _____ Sort Code: _____

9 Principal Activities of the Company

Please, provide a brief summary description of the Company's principal activities including location of main operating entities and clients, geographical split of clients and products if available, products traded, volumes and any other relevant information for the purposes of opening an account with us:

10 The Company's experience and knowledge of investments or the Trader's Experience and knowledge of investments

Please indicate how investment decisions are made by ticking the one description below that is most relevant to the Company:

Ref	Description of how trading decisions are made	TICK
1	The Company has an in-house treasury, investment or similar function comprising of competent and suitably qualified professionals (e.g. traders) who are responsible for the Company's investment strategies and processes.	
2	The Company has a designated investment committee comprising of competent and suitably qualified professionals (e.g. traders) who are responsible for its investment strategies and investment process, and: (i) the committee makes investment decisions on behalf of the Company; and (ii) the Company makes informed decisions taking into account the advice or recommendation of the committee.	
3	The Company uses algorithms or other automated techniques to make trading decisions, with certain qualified professionals (e.g. traders) responsible for calibrating and managing them.	
4	The Company engages an external investment advisory team (e.g. a US Commodity Trade Advisor) comprising of competent and suitably qualified professionals who are responsible for the Company's investment strategies and processes.	
5	The Company relies on, and follows, the investment strategies, advice and recommendations of a related entity (e.g. a subsidiary or sister company), and this entity has: (i) an in-house treasury, investment or similar function; or (ii) a designated investment committee; or (iii) it engages an external investment advisory team.	
6	The Company is a regulated investment entity that provides liquidity to its clients on a principal-to-principal basis. Accordingly, the Company's trading decisions are an automatic hedge of its clients' trading decisions.	

We have provided documentation that evidences the decision making structure(s) that we have ticked as applying above:

Yes ☐ No ☐

If you selected options 1, 2 or 3 above, please answer questions 'a' and 'b' below:

- a. How many qualified professionals does the company have? _____
- b. Have you provided completed Individual Trader Experience Forms for each qualified professional? YES / NO

If you selected options 4 or 5 above, please confirm the entity name AND Legal Entity Identifier ("LEI") of the external investment advisor OR related company (where available):

Entity Name: _____

LEI: _____

11 Representations in relation to trading derivative products

For information on why we require this information, what each of the categories above mean, and what the implications are of falling within one of these categories, please refer to the Frequently Asked Questions document on our website: www.sucdenfinancial.com/ClientDocumentation.

If you intend to trade OTC products with us or you are an EU entity, then please indicate your classifications by ticking the relevant box below:

We are a Financial Counterparty ("FC")	
We are a Non-Financial Counterparty that is <u>above</u> the Clearing Threshold ("NFC+")	
We are a Non-Financial Counterparty that is <u>below</u> the Clearing Threshold ("NFC-")	

Important - change of status

If you become a client and you subsequently become aware of any change to your classification you undertake to notify Sucden in writing of such change as soon as reasonably practicable.

12 Delegated Trade Reporting (entities incorporated/established in the EU ONLY)

For further information on what delegated trade reporting is, and why we are asking this question, please consult the Frequently Asked Questions document on our website: www.sucdenfinancial.com/ClientDocumentation.

We would be interested in delegating our trade reporting to Sucden, for trades entered into with Sucden (please tick the box that applies):

Yes ☐

No ☐

Important note

An entity **must** supply its LEI (see box 13, below) and VAT number to us if it is interested in receiving delegated trade reporting services from us.

Please provide your VAT number here: _____

13 Legal Entity Identifier ("LEI") (all entities, regardless of jurisdiction of incorporation/establishment)

Please tick the box the applies below:

☐ We have an LEI or have applied for one

Please provide your LEI or pre-LEI below:

☐ We do not have an LEI

Please state what your plans are for obtaining an LEI:

Important note(s)

- An LEI is an alphanumeric code which is 20 characters long, and is issued by a Local Operating Unit ("LOU") in return for a fee. **For the avoidance of doubt, it is not a company registration number or the equivalent.** For further information on what an LEI is and why we require it, please consult the Frequently Asked Questions document on our website.
- **Please note that, from January 2018, it will be mandatory for every legal entity that trades with an EU investment firm such as Sucden Financial Limited to have an LEI. Entities that do not have an LEI will not be able to trade with an EU investment firm**

14 Purpose of trading derivative products

For information on why we are requesting this information, please refer to the Frequently Asked Questions document on our website: www.sucdenfinancial.com/ClientDocumentation.

We intend to trade in derivative products for (please tick the box that applies):

For hedging purposes only:	
For speculative purposes only:	
For a combination of hedging and speculative purposes:	

Please provide a brief explanation of the trading activity we can expect to see from your account(s) including products, volumes and maturities as well as the trading platforms and e-platforms that you intend to use.

15 Clearing Account Preferences (relevant to prospective clients intending to engage in cleared business only)

If applicable, please confirm your choice of clearing account structure for each business area in which you intend to trade derivatives with Sucden by ticking the applicable box(es) below.

Please note:

- you can only make **one** election (i.e. Individually Segregated Account ("ISA") or Omnibus Segregated Account ("OSA") per business area;
- you should read the Clearing Member Disclosure Document and Pricing Disclosures for Clearing Account Structures carefully before making your choice. Both documents are available at the following location under "EMIR Documentation": www.sucdenfinancial.com/ClientDocumentation
- you should also read the Frequently Asked Questions document in relation to this section. This document is also available at the abovementioned location; and
- if you do not intend to trade derivatives falling under any of the business areas listed below then you do not need to complete this section.

Business Area	ISA required	Net OSA required
London Metal Exchange ("LME")		
Freight Derivatives		
ICE Futures Europe business cleared through ICE Clear Europe		

16 Access to the Company's account via Sucden's website

Does the Company wish to access details of its account activity on Sucden's website?

Yes

☐

No

☐

If 'Yes'

- Access to the account will be via a unique password, which will be issued for the sole use of named individuals on the basis that it will remain their responsibility to keep it confidential and secure.
- This facility incorporates a number of security features and data stored and transmitted, will not have any reference to your company's name, address or account number.
- An account key to enable access to the facility will be emailed to the named individual below:

Name: _____ Email: _____

Name: _____ Email: _____

Name: _____ Email: _____

Name: _____ Email: _____

17 Consents required under the Markets in Financial Instruments Directive

Under the FCA Rules that implement the European Markets in Financial Instruments Directive ("MiFID"), **we need to obtain your express consent** or instructions in order to do certain things that will, in our view, enable us to provide a more comprehensive service to you.

Specifically:

- we need your written consent to execute your orders outside a regulated market; and
- if you wish us to have the flexibility not to make details of your unexecuted limit orders to buy or sell European listed shares immediately public in the event that we are unable to execute them under prevailing market conditions, then you need to give us a specific instruction to this effect.

We give consent for Sucden Financial Limited to execute orders on our behalf outside a regulated market.

Please note that we are not required to obtain this consent in the event that you are categorised as an eligible counterparty in accordance with the FCA's rules.

Yes

☐

No

☐

Where we have given you a limit order relating to shares that have been admitted to trading on a regulated market and Sucden Financial Limited is unable to execute the order immediately under prevailing market conditions, we do not require Sucden Financial Limited to make the requisite details of that order immediately public but instead permit Sucden Financial Limited (or, as the case may be, the intermediate broker through whom Sucden Financial Limited has chosen to execute the order) to exercise discretion as to whether or not the requisite details of the order are made public.

Yes

☐

No

☐

For more information on what constitutes a "regulated market" for the purposes of this section, please consult the Glossary at the following section of the FCA's website: <https://www.handbook.fca.org.uk/handbook//>

18 Declarations and Signature of the Company

The following officers, being duly authorised to do so, declare and confirm on behalf of the Company the following:

- I certify that I am authorised to sign for the Company in respect of all the accounts to which this form relates.
- the Company confirms that all statements made in this declaration are correct and complete.
- the Company undertakes to advise Sucden Financial Limited immediately of any change in circumstance which causes the information herein to become incorrect (including any changes to the information on controlling persons).
- the Company acknowledges that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be reported to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information with the country/ies in which this account(s) is/are maintained.
- where applicable, the Company confirms that it has read and understood the Clearing Member Disclosure Document and confirms its clearing account preferences made in this form; and
- the Company agrees to be bound by any provisions included in this form.

Executed by the Company acting by its duly authorised representatives

Full name of Company: _____

Signature _____

Name (Print) _____

Position / Title _____ Date _____

Signature _____

Name (Print) _____

Position / Title _____ Date _____

Signature _____

Name (Print) _____

Position / Title _____ Date _____

Company Seal /
Stamp

Should SUCDEN FINANCIAL LIMITED and the Company enter into an agreement this form and the information set out in it will constitute part of the contract.

To assist us in the opening of your account, please ensure that the documents listed below are provided with the completed account opening form:

If the Company is regulated by the Financial Conduct Authority, an equivalent regulator, or listed/quoted on a major Stock Exchange, copies of the documents below do not need to be certified.

- A certified* copy of the Company's Certificate of Incorporation (or local equivalent).
- A certified* copy of the Company's Memorandum and Articles of Association (or local equivalent).
- Certified* copies of documents confirming the Company's ownership structure (e.g. share registers, share certificates and list of current directors).
- Proof of identity for each of the major beneficial owner(s)/ shareholders and Directors of the Company. This should include a certified* copy of their current passport or identity card, and a certified* copy of a current (*dated within the last 3 months*) utility bill, or equivalent to confirm proof of address.
- An original Board Resolution of the Company to open an account with Sucden Financial Limited (see attached).
- A copy of the latest audited Report and Accounts of the Company (if unavailable then please provide unaudited management accounts).
- A Form W-8BEN-E (only required for a Non-US Person and want to trade US Products).
- A Form W9 (only required for a US Person).

****Certified copies of documents must be dated and signed "original seen", preferably by a government department or a regulated or professional person covered by money laundering regulations. Examples of regulated or professional persons covered by money laundering regulations include bankers, accountants or other persons employed by firms authorised by the Financial Conduct Authority. If a good reproduction of the photograph on personal identification cannot be achieved, then the copy should also be certified as providing a good likeness of the applicant.***

The full name, address and occupation of the person certifying the copy will also be required.

Certifier's details:

Name of Certifier:

Occupation:

Name of Company:

Telephone / email:

Appendix 1 – Controlling Persons Form

****For use by Controlling Persons of entities or trusts that are NOT financial institutions and that are not US entities only****

Controlling Persons Form - Country of residence for tax purposes

For guidance on what constitutes a “Controlling Person” for the purposes of this form, and why we are requesting this information, please refer to the Frequently Asked Questions document on the website at the following location:
www.sucdenfinancial.com/ClientDocumentation

1. Legal name of prospective Account Holder(s) at Sucden Financial Limited of which you are a Controlling Person

2. Name of Controlling Person completing this form

3. Current Residence Address

4. Date of birth

5. Place of birth (please specify the town/city & country)

6. Country of Residence for Tax Purposes and related Taxpayer Identification Number or functional equivalent (“TIN”)

Please complete the following table indicating (i) where the Account Holder is tax resident and (ii) the Account Holder’s TIN for each Reportable Jurisdiction indicated.

If a TIN is unavailable please provide the appropriate reason A, B or C where appropriate:

Reason A – The country where I am liable to pay tax does not issue TINs to its residents

Reason B – The Account Holder is otherwise unable to obtain a TIN or equivalent number

Reason C – No TIN is required (*Note. Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction*)

	Country of Residence	TIN	If no TIN available enter Reason A, B or C
1			
2			

Please explain in the following boxes why you are unable to obtain a TIN if you selected Reason B above.

1	<input type="text"/>
---	----------------------

If you are unsure as to your residency for tax purposes you should seek independent tax advice. Sucden Financial Limited is unable to give any tax advice.

7. Type of Controlling Person *(Please tick the applicable statement(s) below)*

- ☐ Controlling Person of a legal person – **control by ownership**
☐ Controlling Person of a legal person – **control by other means**
☐ Controlling Person of a legal person – **senior managing official**

8. Declarations and Signature

- I certify that I am the Controlling Person of the Account Holder to which this form relates.
- I acknowledge that the information contained in this form and information regarding the Controlling Person and any Reportable Account(s) may be reported to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which I, the Controlling Person, may be tax resident pursuant to intergovernmental agreements to exchange financial account information.
- I confirm that all the details given in this form are correct and complete.
- I will inform Sucden Financial Limited immediately in writing of any changes to the details contained herein.

Signature _____

Name (Print) _____

Position / Title _____ Date _____

Should Sucden Financial Limited and the prospective Account Holder enter into an agreement this form and the information set out in it will constitute part of the contract

Appendix 2 – Individual Experience Form

The information requested in this form is to enable us, and where applicable our subsidiary, Sucden Financial (HK) Limited, to fulfil our obligations under applicable laws and regulations.

1. Personal details (to be completed by all traders.

Full Name: Date of Birth (DAY/MONTH/YEAR): Country of Residence: National Identification Number: <i>Notes to assist in the completion of this section:</i> (i) for nationals of countries outside the EEA, this is your National Passport Number ; and (ii) or nationals of countries inside the EEA, please refer to the document entitled “ Annex II: National Client Identifiers for Natural Persons ” which can be found at the following location on Sucden Financial Limited’s website and provide the identification number stated in the “1 st Priority” column: http://www.sucdenfinancial.com/en/about-us/client-documentation	Full legal name of entity employed by/authorised to act for:
--	--

SECTIONS 2-4 ONLY NEED TO BE COMPLETED IF YOU DO NOT WORK FOR AN INVESTMENT BANK OR INVESTMENT FIRM IN THE EEA, OR A REGULATED EQUIVALENT IN AUSTRALIA, CANADA, HONG KONG, JAPAN SINGAPORE OR THE US

2. Your experience and knowledge of investments

Please indicate which of the following types of investment you have previously traded in a personal and/or professional capacity, even if the company does not intend to trade any of those investments with Sucden Financial Limited or Sucden Financial (HK) Limited.

Type of investment	Number of years traded	Please list markets where investment traded (e.g. LME, ICE Futures US, ICE Futures EU, TOCOM etc)	Average frequency of trades per quarter during the last year	Approximate size/value of average deal
Shares	_____		less than 10 [] 10 or more [] trades / quarter / quarter trades	_____ (value)
Bonds	_____		less than 10 [] 10 or more [] trades / quarter / quarter trades	_____ (value)
Financial Futures	_____		less than 10 [] 10 or more [] trades / quarter / quarter trades	_____ (lots)
Financial Options	_____		less than 10 [] 10 or more [] trades / quarter / quarter trades	_____ (lots)
Commodity Futures	_____		less than 10 [] 10 or more [] trades / quarter trades	_____ (lots)

			/ quarter	
Commodity Options	_____		less than 10 [] 10 or more [] trades / quarter trades / quarter	_____ (lots)
Contracts for Difference (CFDs)	_____		less than 10 [] 10 or more [] trades / quarter trades / quarter	_____ (value)
Spot & Forward Foreign Exchange	_____		less than 10 [] 10 or more [] trades / quarter trades / quarter	_____ (value)
Funds	_____		less than 10 [] 10 or more [] trades / quarter trades / quarter	_____ (value)
Over the Counter & Other Off Exchange Contracts (including Bullion)	_____		less than 10 [] 10 or more [] trades / quarter trades / quarter	_____ (value)
Spread Betting	_____		less than 10 [] 10 or more [] trades / quarter trades / quarter	_____ (value)

3. Experience of working in the financial sector (complete only if you have such experience)

	Service period (months/years)	Name of employer	Position	Related market(s) (e.g. LME)	Related product(s) (e.g. commodity futures)
1					
2					
3					
4					
5					

4. Academic or professional qualifications (complete only if you have such qualifications)

	Year of participation	Name of institution (e.g. Chartered Institute for Securities and Investments, Chinese University of Hong Kong)	Name of qualification, course or seminar	Related market(s) (e.g. LME)	Related product(s) (e.g. commodity futures)
1					
2					
3					
4					
5					

I confirm that:

- **I consent to your collection and processing of my personal data for the purpose of enabling Sucden Financial Limited and, where applicable, Sucden Financial (HK) Limited to administer and operate your account, provide services to you and comply with applicable laws and regulations, including: transaction and trade reporting; and assessing your trading experience for the purposes of: (i) assessing whether a service or product is appropriate for you/your employer; or (ii) for determining whether you/your employer is a Professional Investor as defined in the rules of the Securities Futures Commission (“SFC”) of Hong Kong;**
- **I understand that I have the right to access, and request the correction of, any of the information that I have provided in this form by contacting Sucden Financial Limited and Sucden Financial (HK) Limited in writing;**
- **I understand that Sucden Financial (HK) Limited is based in Hong Kong, a jurisdiction outside the European Economic Area (“EEA”) that is not deemed to operate data protection laws equivalent to those that operate within the EEA;**
- **the details contained in this form are correct and complete; and**
- **I will inform Sucden Financial immediately in the event that any of the information given in this form becomes, or is subsequently found to be, incomplete.**

Signed: _____

Date: _____

CORPORATE RESOLUTIONS OF BOARD OF DIRECTORS

I, _____, hereby certify that I am the duly elected and qualified secretary of _____ (the “Company”), organised and existing under the laws of _____ that I have custody of the record of the Company, that the following resolutions were duly adopted by the Company at a meeting of the Board of Directors of the Company duly called and held on the _____ day of _____ 20____, and that such resolutions have not been rescinded, modified, or amended and are now in full force and effect:

WHEREAS the Company has full power and authority under its charter and by-laws and all applicable laws to enter into contracts for futures, options, contracts for differences, spot or forward contracts of any kind in relation to any commodity, metal, financial instrument (including any security), currency, interest rate, index or any combination thereof (collectively referred to as “the Contracts”):

RESOLVED that the Company open and maintain an account or accounts with Sucden Financial Limited (“Sucden”) for the execution of orders for the purchase and sale of the Contracts, on margin or otherwise.

FURTHER RESOLVED that the individual(s) listed below (the “Authorised Persons”) are authorised either individually or jointly to execute Sucden’s account opening documentation (“the Terms”) and any and all other documents required by, or entered into with Sucden from time to time.

LIST OF AUTHORISED PERSONS

(Please note that the following individuals will be authorised to sign on behalf of the company)

NAME	TITLE	SIGNATURE

FURTHER RESOLVED that notices or demands upon the Company made by Sucden in connection with the Company's account or accounts may be delivered by Sucden verbally or in writing to any of the Authorised Persons as though dealing with the Company directly.

FURTHER RESOLVED that it is the intention of the Company to give the Authorised Persons the broadest possible power with respect to the account or accounts of the Company and the Company agrees that Sucden has no duty or responsibility to investigate further the authority of Authorised Persons to exercise such power. The Company further agrees to hold Sucden harmless against any and all claims that may arise by reason of following any instructions, orders and directions given by an Authorised Person. Sucden shall be entitled to rely upon the continued authority of an Authorised Person unless the Company notifies Sucden to the contrary.

FURTHER RESOLVED that, in order to induce Sucden to act as broker on behalf of the Company, the execution and delivery of the Terms and any and all other documents required by, or entered into with Sucden from time to time, is hereby authorised.

FURTHER RESOLVED that in the event the foregoing resolutions are rescinded or amended at any time, or any of the representations and warranties in the Terms cease to be true and correct at any time, the Company will promptly notify Sucden in writing at the address for notices set forth in the Terms.

FURTHER RESOLVED that the Company agrees to indemnify and hold harmless Sucden, its successors and assigns against and from any and all claims or liabilities for any direct or indirect losses, damages, costs or expenses whatsoever arising directly or indirectly from the lack of authority of the Authorised Persons or from any of the above representations or warranties not at any time being true and correct or from the Terms not having been fully performed by the Company.

Signature: _____
(Company Secretary)

Name: _____

Date: _____ (Affix corporate seal; if applicable)

Approved by: _____
(President, or other executive officer other than the Company Secretary)

Name: _____

Title: _____

Date: _____