

Corporate Account Application Form

Please complete ALL SECTIONS in full using BLOCK CAPITALS. Failure to do so could delay the opening of your trading account.

Please call 0845 880 0003 should you have any questions.

1 - Account Type

Spread Bet CFD

2 - Company Details

Company Name

Please provide a detailed description of your core business activities as well as your revenue sources.

Business Website

Correspondence Details

Address Line 1

Address Line 2

Town

County

Postcode

Country

Business Email Address

Primary Contact

Title Mr Mrs Miss Ms Dr

Other Please specify

First Name

Surname

Business Tel No

Email Address

Registered Address

Same as Correspondence

Address Line 1

Address Line 2

Town

County

Postcode

Country

Registered number (If applicable)

Principal place of Business

Same as Correspondence

Address Line 1

Address Line 2

Town

County

Postcode

Country

Company Bank Details

Bank Name

Account No

Sort Code — —

or

IBAN

BIC

3 - Compliance Details

Does the Company have any pending litigation, disputed accounts or other unresolved matters? Yes No

Has the Company ever been subject to Bankruptcy/Insolvency proceedings? Yes No

Is the company FCA registered or regulated in any other country? Yes No

Please provide details:

Are any of the company's shares held in nominee?

Yes No

If yes, please explain.

Please provide current corporate financial information below:

Total Assets

Total Liabilities

Intended Initial Deposit

If the company does not have any liabilities, please provide an explanation:

Are the deposited funds contributed solely by the entity and/or its principals/owners?

Yes No

If yes, you affirm that all assets deposited or to be deposited in the account(s) are corporate proprietary funds resulting solely from:

- Paid in capital contributed by the firms owners/principals as disclosed in the customer application; and/or
- Net income and/or retained earnings resulting from regular business operations.

As an FCA regulated firm we are required to assess whether leveraged trading is appropriate for you. **Your responses will be used to determine whether we are able to open an account for you** so please complete your application carefully.

4 - Trading Experience

Understanding your trading knowledge and experience will assist us in determining if an account is appropriate for you. Please answer the following questions carefully.

The most experienced individual who is authorised manager/supervisor of trading activities.

Full name

How often have you traded the following products in the last 12 months?

Shares or bonds

Frequently Regularly Occasionally Never

Futures, options or ETFs

Frequently Regularly Occasionally Never

Spread Bets, CFDs or margined FX

Frequently Regularly Occasionally Never

How many times have you traded Spread Bets, CFDs **or** spot FX in the last 12 months? (check one)

50 or more 25 - 49 10 - 24 Less than 10

Do you have work experience that provides you with a good understanding of trading Spread Bets or CFDs?

Yes No

If yes, please specify:

I have at least 3 years' work experience

I have less than 3 years' work experience or at least one years' experience investing on my own behalf

Investing experience must be independent of your experience provided above.

Do you have any qualifications that assist your understanding of Spread Bets or CFDs?

Yes No

If yes, please specify:

I hold a professional qualification or degree such as the CFA, MBA, BSc or MA

I hold a qualification or degree in finance, economics, accounting OR a similar field.

5 - Additional Information

If you do not understand the following concepts a leverage trading account may not be appropriate for you.

I understand that Spread Bets, CFDs, and Margined FX are leveraged products and their performance may be volatile.

I understand I don't understand

I understand that it is my responsibility to monitor and manage my account.

I understand I don't understand

I understand that when trading leveraged products that my capital is at risk.

I understand I don't understand

6 - Director, Authorised Signatory and Shareholder Personal Details

Provide a list of all beneficial owners including their ownership percentage (must equal 100%).

Name	Date of Birth	Address	Title	Ownership %
			Total Ownership:	

Please list all persons who hold an executive officer or senior manager position (including directors and authorized traders), or any other individual who regularly performs these functions:

Name	Date of Birth	Address	Title

7 - News, Product & Service Updates

Please keep me informed about news, products and services applicable to my account via:

Email *e.g. platform updates, webinars, trading ideas, market news etc.*

Phone *e.g. personalised trading support services etc.*

SMS *e.g. real-time trading updates, market volatility alerts etc.*

Post *e.g. account information, benefits, rewards etc.*

You can change your preferences at any time within 'My Account', or [contact us](#).

8 - Central Counterparty Clearing

Your account will provide central counterparty clearing on certain markets through an Omnibus Segregated Clearing Account (OSCA). This service is free of charge.

You have the option to choose an Individual Segregated Clearing Account (ISCA) instead of, or in addition to, the omnibus account we provide as standard. Choosing an ISCA will incur account opening and maintenance fees. Read more or request ISCA information below.

No thanks Yes send me ISCA information

9 - Declaration

I confirm that:

- The information provided in this application is true and accurate.
- I have read and agree to the [Terms and Policies](#) including without limitation the Terms and Conditions and Privacy Policy.
- You may provide information to me (including without limitation any [Terms and Policies](#) and any updates or changes thereto) by email, on your website or by any other electronic means.
- I understand the nature and risks of trading Spread Bets/CFDs and have read and understood the Risk Warnings in your [Terms and Policies](#).

If there is anything you do not understand, please call Client Management on 0845 880 0003

Data Protection

To comply with anti-money laundering regulations, the Company is required to collect information and undertake checks on the identity and residential address of the directors, shareholders and other authorised signatories, including accessing and using information held in any database or other electronic format. The Company may request further supporting documents from you to confirm these details. Such requests could delay the processing of this application.

The Company may use the personal information of identifiable individuals, for example, for responding to credit reference enquiries, searching the electoral register and making enquiries of credit reference and other agencies, who may retain a record of the enquiry and information given to them and who may also use your information in the future to assist other organisations for crime prevention and credit purposes.

For further details about how the Company will use your personal information, please see our Privacy Policy which is available on our website.

Some of the market data that you will be able to view as part of your account may include data from various exchanges. In compliance with their data usage requirements, you are required to confirm if you a professional client. A professional client is a person who is not an individual, is not trading on its own behalf and is not registered with any regulatory body.

Exchange professional client	Exchange non-professional client
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10 - Board Resolution

CERTIFIED COPY OF RESOLUTIONS DULY PASSED AT A MEETING OF

("THE CLIENT") HELD ON
(DDMMYYYY)

A. We, the persons named in Box 1, certify that (a) the information contained in this application form is accurate, complete and up to date and (b) the resolutions at paragraph 1.1 to 1.3 below are true and complete copies of the resolutions of the Client duly passed (and which have not been subsequently varied or revoked) at the Board meeting referred to above, at which a quorum (entitled to vote) was present throughout and at which the directors declared the nature of any declarable interests.

The resolutions were as follows: -

1. it was resolved: -

1.1 to open an account ("the account") with GAIN Capital UK Ltd. ("the Company") for the purposes of Margin Trading (as defined in the General Terms) on the basis of the Agreement and the terms of the application form.

1.2 that each of the directors named in Box 1 be and are hereby authorised to: -

1.2.1 sign the application form for and on behalf of the client;

1.2.2 do all acts, execute all documents and enter into and perform all agreements necessary or convenient for the purposes of opening and/or operating of the account;

1.2.3 give instructions in relation to the account

1.3 that each of the persons named in Box 2 be and are hereby authorised to give instructions in relation to the account.

B. Each of the directors named in Box 1 jointly and severally warrant that:-

1. the Client has full power and authority to open and operate the account with the Company in accordance with the above resolutions, its memorandum, articles of association and the other constitutional documents and without breach of any law restriction or obligation binding on the client;

2. each of the directors named in Box 1 is a duly appointed director of the Client and holds the position adjacent to their name.

C. Each of the directors named in Box 1 and each of the persons named in Box 2 consent to the use of their personal information as described in section 7 of this application form (one of whom must be the authorised manager/supervisor of trading activities).

Box 1: Agreement

By signing this form you represent that all the information contained herein is true and accurate and you agree on behalf of the client to be bound by the terms of this Application Form and the Agreement on behalf of the applicant.

Signature

Full Name

Position

Date (DDMMYYYY)

Signature

Full Name

Position

Date (DDMMYYYY)

Box 2: Persons Authorised to Trade

Signature

Full Name

Position

Date (DDMMYYYY)

Signature

Full Name

Position

Date (DDMMYYYY)

CFDs are complex instruments and come with a high risk of losing money rapidly due to leverage. **73% of retail investor accounts lose money when trading CFDs with this provider.** You should consider whether you understand how CFDs work and whether you can afford to take the high risk of losing your money.

Documents Required

We will require appropriate evidence of identity from Directors, Shareholders and other persons we consider appropriate. In the first instance, please provide evidence of identity for at least two Directors and any shareholder who owns more than 25% of the shares.

Identification can consist of:

UK Domicile - Current Copy Passport or Copy UK Driving License and an original utility bill (dated within the last 6 months).

Non UK domicile - Current Copy Passport or Copy Identity Card and one original utility bills (dated within the last 6 months).

Please include the following with your application:

- Evidence of Incorporation
- Proof of registered address
- Memorandum and Articles of Association
- Last two years report and accounts
- Details of directors and Shareholders

With more complex corporate structures, we will ask for further documentation in order to ascertain the ultimate beneficial owners and controllers.

What to do next

Please check the details that you have provided are correct and that the application form is signed. Then send your completed application to us by post, fax or email scanned copies using the details following.

Freepost RSAR-ULBK-KKYS

Interactive Investor trading name of Gain Capital UK Ltd

Park House

16 Finsbury Circus

London

EC2M 7EB

Email: customercontact@iii.co.uk