

## BEFORE YOU START

This form enables you to apply for a trust Share Dealing account with us. To make this application you will need some important pieces of information at hand, and the appropriate individuals will need to provide their details and sign the form.

### WHO SHOULD SIGN THIS FORM?

#### On behalf of the applicant

- In the case of a company, two of the directors or a director and company secretary
- In the case of a partnership, two of the partners

### WHAT YOU NEED TO KNOW

Before you apply, it is important to read our Risk Disclosure Notice, Share Dealing Customer Agreement, Collateral Customer Agreement, Order Execution Policy, Conflicts Policy, Privacy notice and Access Policy. You can find them all at [IG.com/uk/professional-corporate-trader](https://www.ig.com/uk/professional-corporate-trader).

## LEI NUMBER (LEGAL ENTITY IDENTIFIER)

All counterparties to a derivative contract must report details of that derivative contract to a trade repository. Your LEI number is your company's unique 20-character code which you will use to report all derivative financial transactions entered into by your company.

Your company LEI will have to be active for the account to be opened.

LEI number: \_\_\_\_\_

## BOARD RESOLUTION

Your board must hold a meeting and pass certain resolutions to enable your company to open an account with us and activate our collateral service. We will ask you to certify that this has happened in the certified board resolution section. The board must also authorise people to trade on your company's account ('**Authorised Signatories or Authorised Dealers**'). The Authorised Signatories/Authorised Dealers must sign the authorised signatories list in the schedule.

## SUPPORTING DOCUMENTS NEEDED

1. The following supporting documentation must accompany the completed account Application Form for a Corporate Trust:
  - Memorandum and Articles of Association
  - Certificate of Incorporation
  - Trust Deed
  - Latest Trust financial statements
  - Proof of registered Address (recent original utility bill or bank statement displaying the Company's Name and Registered Address)
  - Proof of Business (mailing) Address (recent original utility bill or bank statement displaying the Company's Name and Business (mailing) Address)
  - Individual verification of two Directors (copy of passport and a recent original residential utility bill for each)
  - Copy of Register of Shareholders
  - Individual verification of shareholders with a holding of 25% or more
    - Individual shareholders (copy of passport and a recent original residential utility bill for each)
    - Corporate shareholders (a complete list of supporting documentation for each Company as listed above)
  - Recent bank statement confirming the company bank details you will be using for funding your account, your bank statement must show funds you intend to use for trading with IG. If funds are held elsewhere such as a director or shareholder's account, or in a portfolio, then evidence of these will also be required
2. The following supporting documentation must accompany the completed account Application Form for an Individual Trustee:
  - Trust Deed
  - Latest Trust financial statements
  - Proof of identity of all Trustees (copy of passport, driving licence or national identity card and a recent original residential utility bill for each).

**Please note:** once the Trust has submitted its application, we may contact you to request that the beneficial owner of the Trust supplies us with a document guaranteeing the obligations of the Trust. A guarantee of this kind will only be required in certain circumstances (eg where the Trust itself has very few assets or where the Trust is registered in certain jurisdictions).

If you are interested in trading US stocks additional documents will be required. For more information, visit our website at: <https://www.ig.com/uk/us-stocks>. Please note trading US stocks will incur additional charges on your account. For more details, contact IG.

## COMPLETING THE FORM

- Please complete all sections **IN FULL** and in **BLOCK CAPITALS**
- If you have any questions, please call us on +44 20 7633 5461

## TRUST INFORMATION

### 01 TRUST DETAILS

Full name of Trust: \_\_\_\_\_

Address of Trust: \_\_\_\_\_

\_\_\_\_\_ Postcode: \_\_\_\_\_

Total value of assets under management: £ \_\_\_\_\_

Please confirm the tax residence(s) of the Trust in the below table:

JURISDICTION	TAX IDENTIFICATION NUMBER (TIN)*	IF TIN UNAVAILABLE, PLEASE SPECIFY REASON

\*Please only provide the Tax Identification Number(s) where the Trust is resident in the US, UK Crown Dependencies and/or Gibraltar

### 02 CONTACT DETAILS

Contact number (mandatory): \_\_\_\_\_ Email address (mandatory): \_\_\_\_\_

### 03 BANK DETAILS

Name of bank: \_\_\_\_\_

Address of bank: \_\_\_\_\_ Account name: \_\_\_\_\_

\_\_\_\_\_ Account No./IBAN: \_\_\_\_\_

\_\_\_\_\_ Sort code/BIC: \_\_\_\_\_

\_\_\_\_\_ Postcode: \_\_\_\_\_ Approx. funds available to

the Trustee's trading with IG: £ \_\_\_\_\_

## TRUSTEE DETAILS

### 01 NOMINATED TRUSTEE DETAILS

If a corporate Trustee, full name(s): \_\_\_\_\_ Address of Trustee: \_\_\_\_\_

\_\_\_\_\_

If an individual Trustee, full name(s): \_\_\_\_\_

\_\_\_\_\_ Postcode: \_\_\_\_\_

## 02 IDENTIFICATION OF DIRECTOR(S)

We need to verify the identity of the directors signing this form before the account can be opened.

### SOLE DIRECTOR/DIRECTOR 1:

Full name: \_\_\_\_\_

Residential address: \_\_\_\_\_  
\_\_\_\_\_

Postcode: \_\_\_\_\_

Date of Birth: \_\_ \_\_ / \_\_ \_\_ / \_\_ \_\_ \_\_ \_\_

1. Are any Directors currently or previously bankrupt?

If the answer is **'Yes'**, please give details: \_\_\_\_\_  
\_\_\_\_\_

### DIRECTOR 2/COMPANY SECRETARY:

Full name: \_\_\_\_\_

Residential address: \_\_\_\_\_  
\_\_\_\_\_

Postcode: \_\_\_\_\_

Date of Birth: \_\_ \_\_ / \_\_ \_\_ / \_\_ \_\_ \_\_ \_\_

Yes  No

## 03 IDENTIFICATION OF BENEFICIAL OWNERS

We need to verify the identity of all beneficial owners/shareholders holding 25% or more shares in the company before the account can be opened.

Beneficial owner 1:

1. Title (if applicable) \_\_\_\_\_

Name of Individual/Company \_\_\_\_\_

Current Address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Date of Birth \_\_ \_\_ / \_\_ \_\_ / \_\_ \_\_ \_\_ \_\_

% ownership \_\_\_\_\_

Beneficial owner 2:

1. Title (if applicable) \_\_\_\_\_

Name of Individual/Company \_\_\_\_\_

Current Address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Date of Birth \_\_ \_\_ / \_\_ \_\_ / \_\_ \_\_ \_\_ \_\_

% ownership \_\_\_\_\_

Beneficial owner 3:

1. Title (if applicable) \_\_\_\_\_

Name of Individual/Company \_\_\_\_\_

Current Address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Date of Birth \_\_ \_\_ / \_\_ \_\_ / \_\_ \_\_ \_\_ \_\_

% ownership \_\_\_\_\_

Beneficial owner 4:

1. Title (if applicable) \_\_\_\_\_

Name of Individual/Company \_\_\_\_\_

Current Address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Date of Birth \_\_ \_\_ / \_\_ \_\_ / \_\_ \_\_ \_\_ \_\_

% ownership \_\_\_\_\_

## 04 STATEMENT INSTRUCTIONS

In the absence of other instructions from you, we will send statements by email. If you would prefer to receive these by post, please tick this box   
Please note that postal statements will incur a charge of £1 per statement.

## KNOWLEDGE AND EXPERIENCE

Please complete the following section so we can assess the appropriateness of our services for the Trust. Please note that we are required to make this assessment by law. It may be that we do not consider the account type you have selected to be appropriate for the Trust. If this is the case, we will contact you to discuss further options.

1. To what extent over the past 3 years has the Trust traded the following?

Shares and/or bonds  More than 20 times  10 to 20 times  Less than 10 times

Exchange-traded derivatives (eg warrants, futures or options)  More than 20 times  10 to 20 times  Less than 10 times

OTC derivatives (eg CFDs, spread betting, forex, )  More than 20 times  10 to 20 times  Less than 10 times

2. How has the Company mostly traded these products?  Execution-only and/or Advisory  Managed  Never traded

3. Do the officer(s) of the Trust who will be making the Trust's trading decisions have particular experience or qualifications which would assist the Trust's understanding of our services?  Yes  No

If yes:

Occupational experience: the officer(s) have a good knowledge of OTC, leveraged derivatives through working in the financial sector

Qualifications: the officer(s) have a good knowledge of OTC, leveraged derivatives because of a relevant professional qualification and/or education

4. Please provide us with further information regarding the Trust's knowledge and experience that will help us assess whether our services are appropriate for the Trust:

## EMIR CLASSIFICATION

Under EMIR legislation, we require confirmation of whether you are a financial counterparty, a non-financial counterparty (plus or minus), a central counterparty clearing house or other, please see details below.

Please indicate below;

Financial Counterparty  Non-Financial Counterparty Plus  Non-Financial Counterparty minus

If you have selected Non-Financial Counterparty minus above, Please confirm if you are currently undertaking EMIR reporting of traded derivative contracts to a recognised trade repository (TR) yourselves?

Yes  No

## FINANCIAL COUNTERPARTY

Please indicate the type of Financial Counterparty You are (multiple selections permitted, where more than one activity applies, please number in order of the relative importance of the corresponding activities, 1 being the most relevant activity):

Assurance undertaking authorised in accordance with Directive 2009/138/EC

Credit institution authorised in accordance with Directive 2013/36/EU

Investment firm authorised in accordance with Directive 2014/65/EU

Insurance undertaking authorised in accordance with Directive 2009/138/EC

Alternative investment fund managed by AIFMs authorised or registered in accordance with Directive 2011/61/EU

**FINANCIAL COUNTERPARTY (CONTINUED)**

- Institution for occupational retirement provision within the meaning of Article 6(a) of Directive 2003/41/EC
- Reinsurance undertaking authorised in accordance with 2009/138/EC
- Undertakings for the Collective Investment in Transferable Securities (UCITS) and its management company, authorised in accordance with Directive 2009/65/EC of the European Parliament and of the Council

**NON-FINANCIAL COUNTERPARTY**

Please indicate the type of Non-Financial Counterparty You are (multiple selections permitted, where more than one activity applies, please number in order of the relative importance of the corresponding activities, 1 being the most relevant activity):

- Agriculture, forestry and fishing
- Mining and quarrying
- Manufacturing
- Electricity, gas, steam and air conditioning supply
- Water supply, sewerage, waste management and remediation activities
- Construction
- Wholesale and retail trade, repair of motor vehicles and motorcycles
- Transportation and storage
- Accommodation and food service activities
- Information and communication
- Financial and insurance activities
- Real estate activities
- Professional, scientific and technical activities
- Administrative and support service activities
- Public administration and defence; compulsory social security
- Education
- Human health and social work activities
- Other service activities
- Activities of households as employers; undifferentiated goods – and services –producing activities of households for own use
- Activities of extraterritorial organisations and bodies

You are an NFC+ if your annual gross notional value of assets traded is above any of the thresholds outlined below and you are an NFC- if you are below the thresholds.

ASSET CLASS	CLEARING THRESHOLD
Credit derivative contracts	€1 billion
Equity derivative contracts	€1 billion
Interest rate derivative contracts	€3 billion
Foreign exchange derivative contracts	€3 billion
Commodity derivative contracts and others	€3 billion

**TRADING ACTIVITY**

If you are a Non-Financial Counterparty, please also select which option below best applies your trading;

My trades are for treasury financing and/or commercial activity\*

- Yes     No

## DECLARATIONS

I confirm that the Company understands:

- the nature and risks of buying, selling and investing in shares, exchange traded funds and exchange traded commodities ('Instruments');

I consent to the provision to the Company of the Risk Disclosure Notice, Share Dealing Customer Agreement and Collateral Customer Agreement by way of the IG website and I hereby confirm that I have read and understood these documents and that the Company agrees to be bound by their terms. The company also agrees to IG's Privacy notice and Access Policy.

I confirm that I will notify IG immediately of any changes to the information provided, including, but not limited to, any change in beneficial ownership.

Name of Director/partner: \_\_\_\_\_

 Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Name of Director/partner: \_\_\_\_\_

 Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Where the application has been signed electronically, please acknowledge the below declarations (both are required):

1. On behalf of the party to the document provided to IG, I confirm that there is no reason why this party cannot enter into this document with IG by attaching the electronic signature(s) that have been attached.
2. I undertake, on behalf of the party to the document provided to IG, that this party shall perform all further steps required (if any) to validate the signing of these documents upon request by IG and that this party shall comply with the terms and conditions of the agreement and comply with its obligations in full as if it is a validly binding document.

## CERTIFIED BOARD RESOLUTION

I (name): \_\_\_\_\_

Company Secretary/Director of (Name of Company): \_\_\_\_\_ (the '**Company**')

certify that the following resolutions were duly passed by the Directors of the Company at a meeting held on

Date: \_\_\_\_\_

## IT WAS RESOLVED AS FOLLOWS:

1. That Share Dealing account(s) (the '**Share Dealing Account(s)**') be opened with IG Trading and Investments Limited ('**IG**') in the name of the Company for the purpose of buying, selling and investing in shares, exchange traded funds and exchange traded commodities and any transactions related or ancillary to any of the above instruments.
2. That an agreement be entered into with IG in connection with the opening of the Share Dealing Accounts in such form as IG shall require (the '**Share Dealing Customer Agreement**') and that all transactions entered into by the Company will be subject to the terms of the Share Dealing Customer Agreement as amended from time to time.
3. That each of the persons whose names and specimen signatures appear in the attached authorised signatories list (the '**Authorised Signatories**') shall be and are hereby jointly and severally authorised to sign any document in connection with the opening or operation of the Account(s), including (but without limitation) the Agreement and any document creating, perfecting or relating to any mortgage, charge or encumbrance over the Company's assets and to give any oral or written instructions to IG with respect to the Account(s) including (but without limitation) instructions to effect or otherwise enter into transactions with or on behalf of the Company.
4. That the Authorised Signatories shall be and are hereby jointly and severally authorised to open (including to sign any document in connection with the opening or operation) of any additional account(s).
5. That any transactions of any description whatsoever previously entered into by the Company with or through IG be and are hereby ratified and approved.
6. That these Resolutions be communicated to IG and shall remain in force and that IG shall be entitled to rely on the same until an amending resolution shall be passed and a copy certified by an officer of the Company shall have been received by IG.

I further certify that there is no legal or other reason why the Company should not conduct this business.

 Signature of Company Secretary/Director: \_\_\_\_\_ Date: \_\_\_\_\_

## WHAT TO DO NEXT

### 1. Please check:

- you have fully completed all sections of the application form
- all the appropriate people have signed the form and the authorised signatory list in the schedule
- you have enclosed the required proof of identity, and copy of an authorised signatory list

If you have any questions please call us on +44 20 7633 5461 or email [newaccountenquiries.uk@ig.com](mailto:newaccountenquiries.uk@ig.com)

### 2. Return your application to:

IG Account Opening  
Cannon Bridge House  
25 Dowgate Hill  
London EC4R 2YA

or email [newcorporate@ig.com](mailto:newcorporate@ig.com)

Once you have completed your details, please:

- ✓ Print this form
- ✓ Sign it (in the presence of an independent witness if you are an individual)
- ✓ Return it to us



#### IG TRADING AND INVESTMENTS LIMITED

Cannon Bridge House, 25 Dowgate Hill, London EC4R 2YA  
T 0800 195 8009 or +44 20 7633 5320 E [helpdesk.uk@ig.com](mailto:helpdesk.uk@ig.com) W [IG.com](http://IG.com)

**AUTHORISED SIGNATORIES/DEALERS LIST:**

Authorised signatories/dealers of the Company as of the date of the Certified Board Resolution.

Please tick the designated boxes (below) to indicate whether the individual is an authorised dealer and/or an authorised signatory.

An authorised dealer is an individual authorised by the Company to trade with IG on behalf of the Company.

Please note that each authorised signatory/authorised dealer for the purpose of the below list must be a director, partner, company secretary or employee of the Company. Any other person will need to apply for Power of Attorney over the account.

NAME	DATE OF BIRTH (DD/MM/YYYY)	SIGNATURE	AUTHORISED SIGNATORY	AUTHORISED DEALER
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
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