

**BEFORE YOU START**

This form enables you to apply for a corporate 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 and Privacy 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)**

An LEI number is your company's unique 20-character code which you or your counterparty will use to identify your financial transactions in accordance with EMIR and MiFID II reporting requirements. This is a mandatory requirement for all entities trading with IG.

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**

You must enclose the following supporting documentation with the Company's completed account application form:

- copy of the Memorandum and Articles of Association (as applicable);
- copy of the Certificate of Incorporation;
- copy of the most recent accounts;
- proof of registered address (recent annual return or print out from the company registry);
- proof of business (postal) address if different to registered address (recent copy bill or bank statement displaying the Company's name and business address);
- copy of register of shareholders **PLUS** verification of the identity of shareholders with a holding of 25% or more. For individual shareholders, please provide a copy of passport and a recent copy of residential utility bill for each. If a shareholder with a shareholding of 25% or more is a corporate entity please provide all the information in this list for each entity);
- copy of the register of directors **PLUS** verification of the identity of two directors listed on the application form. For individual directors, please provide a copy of passport or ID/DRL and a utility bill issued within the past 6 months.
- Recent bank statement confirming Company bank details that will be used to fund the 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.

We may contact you for further information/documentation.

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.

**WE ARE NOT ABLE TO OPEN YOUR ACCOUNT WITHOUT THESE SUPPORTING DOCUMENTS**

## COMPLETING THE FORM

- Please complete all sections **IN FULL** and in **BLOCK CAPITALS**
- If you have any questions, please call us on +44 20 7573 0219

## COMPANY INFORMATION

### 01 COMPANY DETAILS

Full name of company: \_\_\_\_\_ (the '**Company**') \_\_\_\_\_

Registered address: \_\_\_\_\_ Business address: \_\_\_\_\_  Same as registered address

\_\_\_\_\_

\_\_\_\_\_

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

Nature of the business: \_\_\_\_\_

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

Please confirm the tax residence(s) of the Company below:

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

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

### 02 REGULATION

Is the Company regulated by the FCA or similar regulator?  Yes  No

If '**Yes**' please state the name of the regulator and regulatory number: \_\_\_\_\_

### 03 CONTACT DETAILS

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

Email address (for account correspondence): \_\_\_\_\_

### 04 BANK DETAILS

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

Account name: \_\_\_\_\_ Sort code/BIC: \_\_\_\_\_

Account No./IBAN: \_\_\_\_\_ Approx. funds available to  
the Company's trading with IG: £ \_\_\_\_\_

## 05 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

## 06 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.

## 07 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.

1. Title (if applicable) _____ Name of Individual/Company _____ Current Address _____ _____ _____ Date of Birth __ __ / __ __ / __ __ __ __ % ownership _____
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2. Title (if applicable) _____ Name of Individual/Company _____ Current Address _____ _____ _____ Date of Birth __ __ / __ __ / __ __ __ __ % ownership _____
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3. Title (if applicable) _____ Name of Individual/Company _____ Current Address _____ _____ _____ Date of Birth __ __ / __ __ / __ __ __ __ % ownership _____
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4. Title (if applicable) _____ Name of Individual/Company _____ Current Address _____ _____ _____ Date of Birth __ __ / __ __ / __ __ __ __ % ownership _____
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## KNOWLEDGE AND EXPERIENCE

The law requires us to assess whether our services are appropriate for the Company. We will use the information below to make this assessment.

If there are any issues, we will contact you to discuss further options.

1. Over the past three years, to what extent has the Company traded the following?

Shares and/or bonds	<input type="checkbox"/> More than 20 times	<input type="checkbox"/> 10 to 20 times	<input type="checkbox"/> Less than 10 times
Exchange-traded derivatives (eg warrants, futures or options)	<input type="checkbox"/> More than 20 times	<input type="checkbox"/> 10 to 20 times	<input type="checkbox"/> Less than 10 times
OTC derivatives (eg CFDs, spread betting, forex)	<input type="checkbox"/> More than 20 times	<input type="checkbox"/> 10 to 20 times	<input type="checkbox"/> 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 Company who will be making the Company's trading decisions have particular experience or qualifications which would assist the Company's understanding of our services?  Yes  No

If 'Yes', please tick as applicable:  Working in a financial institution  A relevant professional qualification and/or education  
 Both the above  Other

### Optional:

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

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## 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
- 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

## EMIR CLASSIFICATION (CONTINUED)

### 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
- Arts, entertainment and recreation
- 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 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 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: \_\_\_\_\_

**IN THE CASE OF A COMPANY TWO DIRECTORS/ONE DIRECTOR AND COMPANY SECRETARY MUST SIGN  
IN THE CASE OF A PARTNERSHIP TWO OF THE PARTNERS MUST SIGN**

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.

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).

## 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.

## IT WAS RESOLVED AS FOLLOWS: (CONTINUED)

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 7573 0219 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)

**AMEND TO 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"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
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