

## BEFORE YOU START

This form enables you to apply for a trust Share Dealing account with us and to activate our collateral service which allows you to use the stocks and shares in your Share Dealing account as collateral for margin on your CFD account. 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
- In the case of a partnership, two of the partners

#### On behalf of the guarantor

- The individual guarantor **OR** if a company is the guarantor, two directors of the company or one director and the company secretary

### 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 notice and Access Policy. You can find them all at [IG.com/uk/professional-corporate-trader](http://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.

## 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**"). The Authorised Signatories 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 Trustee:
  - 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 bank details you will be using for funding your account
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).

## 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

## 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

Telephone (office hours): \_\_\_\_\_ Email address (mandatory): \_\_\_\_\_

Telephone (out of hours): \_\_\_\_\_

### 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 Markets: £ \_\_\_\_\_

## 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?  Yes  No

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

### DIRECTOR 2:

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

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

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

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

## 03 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.

## COLLATERAL

By ticking this box and signing this form, you agree to activate our collateral service pursuant to the terms of the Collateral Customer Agreement. This means that the Share Dealing account you are opening with us will be linked to the:

Company's existing CFD Account number: \_\_\_\_\_

In order for IG to take the relevant security over the Company's assets, we will need to register a charge over the company pursuant to the terms of the Collateral Customer Agreement. By signing this form, you agree to the terms of the Collateral Customer Agreement, and consent to the registration of a charge over the company by IG.

## 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   | <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, binaries)    | <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

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  
 Central Counterparty Clearing House  Other type

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

**FINANCIAL COUNTERPARTY (CONTINUED)**

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
- 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

Spread bets and CFDs are complex instruments and come with a high risk of losing money rapidly due to leverage. **75% of retail investor accounts lose money when trading spread bets and CFDs with this provider.** You should consider whether you understand how spread bets and CFDs work, and whether you can afford to take the high risk of losing your money.

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**');
- that by executing this form and accompanying resolution, the Company is agreeing to link the Company's Share Dealing account created pursuant to this application ('**Share Dealing Account**'), with the CFD Account indicated in this application ('**CFD Account**') in accordance with the terms of the Collateral Customer Agreement;
- the nature and risks of using the Instruments as collateral for initial margin and margin on the Company's CFD Account in accordance with the terms of the Collateral Customer Agreement, including the risk that Instruments held in the Company's Share Dealing Account can be sold and the proceeds used to account for any debt or deficit owing to IG in relation to the Company's CFD Account.

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.

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

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

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

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

## 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 Markets 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 an agreement be entered into with IG in order to link the Company's Share Dealing Account with its CFD Account (the '**Collateral Customer Agreement**') so that the Instruments and cash on the Company's Share Dealing Account will be used as collateral for the Company's CFD Account.
4. 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.
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 7573 0219 or email [institutionalsales@ig.com](mailto:institutionalsales@ig.com)

### 2. Return your application to:

IG Institutional sales desk

Cannon Bridge House

25 Dowgate Hill

London EC4R 2YA

or email [institutionalsales@ig.com](mailto:institutionalsales@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



