



## **SUCDEN FINANCIAL LIMITED ACCOUNT OPENING FORM**

for

### **DELIVERABLE FX**

**This form is for deliverable FX only. If you wish to trade regulated investment products, you will need to complete the full Corporate Account Opening Form**

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

e-mail: [documentation@sucfin.com](mailto:documentation@sucfin.com) website: [www.sucdenfinancial.com](http://www.sucdenfinancial.com)

Authorised and Regulated by the Financial Conduct Authority

**Please note that for legal entities that are or would be considered a Financial Counterparty (“FC”) under the UK or EU Market Infrastructure Regulations this form is only applicable if you intend to engage only in Spot FX transactions.**

**Financial Counterparties are defined as firms that are authorised as an:**

- investment firm;
- credit institution;
- insurance undertaking;
- assurance undertaking;
- reinsurance undertaking;
- UCITS and, where relevant, its management company.;
- institution for occupational retirement provision;
- alternative investment fund managed by AIFMs.

**or would be considered such if located in the UK or EU.**

**Spot FX transactions are defined as a physically delivered currency transaction where:**

- settlement is within 2 days for major currency pairs (euro, US dollar, Japanese Yen, Pound Sterling, Australian dollar, Swiss franc, Canadian dollar, Hong Kong dollar, New Zealand dollar, Singapore dollar, Norwegian krone, Mexican peso, Croatian kuna, Bulgarian lev, Czech koruna, Danish krone, Hungarian forint, Polish zloty and Romanian leu.);
- settlement is within 2 days or generally accepted market delivery period for other currency pairs; or
- the contract is for the sale or purchase of a transferable security or unit in a collective investment undertaking and settlement is within the shorter of 5 trading days or the generally accepted market delivery period.

In addition, there can be no understanding between the two parties to the contract that delivery will be postponed beyond the date specified in the contract to a date outside of the above periods.

**Any deliverable FX outside of these parameters is considered an FX Forward.**

**Are you or would you be classified as an FC?**

- YES:
- NO:

**Do you intend to trade any products other than Spot FX?**

- YES:
- NO:

**If you have answered YES to both the questions above, please talk to one of our account executives as you will need to complete or standard account opening form.**

**If you are not an FC but have answered YES to the second question, please confirm that the deliverable FX is purely for commercial purposes – i.e. as a means of payment for goods, services or investments. Is this the case:**

- YES:
- NO:

**If you have answered NO to the above question, please talk to one of our account executives as you may need to complete or standard account opening form.**

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 5236/5660.

**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:

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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:

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**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](http://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](http://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	

**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](http://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)**

Beneficiary account name: \_\_\_\_\_

Full Address: \_\_\_\_\_

Account Number (IBAN): \_\_\_\_\_ Currency: \_\_\_\_\_

Name of Beneficiary bank: \_\_\_\_\_ Beneficiary bank BIC Code: \_\_\_\_\_

Intermediary bank (if applicable): \_\_\_\_\_ Intermediary bank BIC code (if applicable): \_\_\_\_\_

**If the Company has additional bank details other than those provided above, please provide a copy of the additional SSI details.**

**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 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

Name: \_\_\_\_\_ Email: \_\_\_\_\_

Name: \_\_\_\_\_ Email: \_\_\_\_\_

Name: \_\_\_\_\_ Email: \_\_\_\_\_

**11 Reverse solicitation: Only applicable to clients based in the EEA and Switzerland**

We can confirm that the initial contact and communication in respect of the initiation of investment services or activity came exclusively from the Company without any undue influence, direction or collaboration of Sucden Financial Limited.

Yes  No

**12 Conflicts of Interest**

In order to meet our regulatory obligations to identify and manage any conflicts of interest please confirm whether, to your knowledge, you have any existing affiliation or relationship with any Sucden Financial Limited group company, SFL employee or SFL client?

Yes  No

If yes please provide more information:

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**13 Individually agreed terms schedule**

**1. Address for Notices** *This must be a UK address otherwise please see point 2 below*

Name  
Address  
s  
Telephone No.

**2. UK Process Agent (Required for clients outside the UK with no UK presence)**

We require any client that does not have a physical presence in the UK to appoint a process agent. The process agent is appointed to receive legal notices on your behalf in accordance with SFL's terms of business. We have made arrangements with a UK process agent to act for any such client. If you are not operating from the UK you are required to complete the final section of this form in order to confirm the appointment of the agent.

**3. Client Money Rules**

Indicate whether you wish SFL to apply or disapply the Client Money Rules.

Apply  Disapply

*Please note: Credit lines are only available to accounts which disapply the Client Money Rules. By selecting 'Disapply', you are requesting a 'Title Transfer Collateral Agreement'.*

*By applying the Client Money Rules, Sucden will deposit money received from you in a segregated account which is held separately from Sucden's own money. Your money will be held in a central bank, a credit institution incorporated in an EEA state or a bank authorised in a non-EEA state. Sucden has no responsibility or liability in the event of the insolvency or any acts omissions of any bank or credit institution that holds the money received from you.*

*By disapplying the Client Money Rules, you agree that the full ownership is transferred to Sucden for any money you transfer to us. If Sucden becomes insolvent, you will only have an unsecured claim against Sucden for repayment of that money*

#### 4. Base Currency

Select one only: USD  GBP  EUR

5. Do you employ an Agent to act on your behalf? This is not a process agent, but any agent placing orders or conducting any other business on your behalf

Yes  No

If yes, please provide the name of the Agent and ensure that the Agent signs this Account Opening Form.

Agent Name:

#### 6. Contact details for Portfolio Reconciliation and Dispute Resolution under EMIR

*Mandatory for clients that trade uncleared OTC derivatives*

a. Portfolio Data and Notice of Discrepancy Email:

b. Dispute Notice Email:

<b>14</b> <b>Declarations and Signature of the Company</b>
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The following officers, being duly authorised to do so, declare and confirm on behalf of the Company the following:

- We certify that we are authorised to sign for the Company in respect of all the accounts to which this form relates and have informed the directors, officers, partners, shareholders, signatories or other relevant parties about the proposed relationship. We confirm that these persons have given you permission to disclose their information to Sucden Financial Limited; and for Sucden Financial Limited to use and record that information;
- 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);
- Before providing us with any information relating to identifiable living individuals in connection with this Account Opening Form you confirm that you have read and understand the Data Protection and Privacy Policy available on Sucden Financial Limited's website at: <https://www.sucdenfinancial.com/en/op/data-protection-and-privacy-policy>, and confirm that you have provided those individuals (except where they already have the information) with the Data Protection and Privacy Policy. We give consent for Sucden Financial Limited to hold our personal data longer than 5 years;
- 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; 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 \_\_\_\_\_

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 localequivalent).
- 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 W9 (only required for a US Person).
- A copy of the Company's Standard Settlement Instructions (if the Company has additional bank details other than those provided in section 8).

***\*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:**