



Collins Sarri Statham Investments Trading Application Form



COLLINS SARRI STATHAM
INVESTMENTS



INSTRUCTIONS FOR COMPLETION

Please use this form to apply for a Saxo Bank trading account and to grant Power of Attorney to Collins Sarri Statham Investments in accordance with the provisions of Part 8 of this form.

Before completing the form, please make sure you have read and understood all information regarding your Saxo Bank trading account, including the General Business Terms (Including the Risk Disclosure Statement), the Business Terms for Securities Trading, the Business Terms for Custody Management, the Business Terms for International Transfer of Funds as well as the Conflict of Interest Policy and the Best Execution Policy (which are available on Saxo Bank's website).

Please complete all information as accurately as possible in block capital letters with a black or blue pen.

To comply with money laundering regulations, you are required to send the following documentation (A or B as applicable) along with the form.

A	INDIVIDUAL CLIENTS
•	A copy of your valid and signed identification (Passport, Driving License or National ID card)
•	Proof of residency, e.g. a copy of your national ID card, driver's licence or social security card containing your registered address or a bank statement or utility bill (e.g. gas, water, electricity, land line phone, oil, internet or cable TV connections) issued in your name within the previous 6 months

B	CORPORATE CLIENTS
•	A copy of the certificate of incorporation
•	Articles of association appropriately signed
•	Documentation on who can sign on behalf of the corporate entity (authorised signatories)
•	Copies of passports belonging to the authorised signatories to verify signatures
•	Documentation of ownership structure
•	Documentation as listed under "A – Individual Clients" for all beneficial owners as defined under Part 5.

For fast processing please return the completed form with the above-mentioned documentation to Collins Sarri Statham Investments by either:

Fax

Fax a copy of the form together with the documentation to 020 7481 6867

Email

Scan the form together with the documentation and email it to info@css-investments.com

Please note that if you send your application via email or fax, you still need to submit the original form within 14 days by standard mail.

Send the application by regular mail together with the documentation to:

Collins Sarri Statham Investments
 4 Royal Mint Court
 London
 EC3N 4HJ
 United Kingdom



All Clients must complete Parts 1, 3, 6, 7, 9, 10, 11 and 12 of the Client Application Form. Corporate clients must furthermore complete Parts 4 and 5.

PART 1 GENERAL CLIENT DETAILS	
Full name (First name + Surname) / Company name:	
Date of birth (required): / / DD/MM/YY	Place of birth (required):
National insurance/Passport No. (required):	Male <input type="checkbox"/> Female <input type="checkbox"/>
Registered address:	
Post code:	Town/City:
County/State:	Country:
Postal address (if different):	
Post code:	Town/City:
County/State:	Country:
*Phone (private):	Fax (private):
Phone (work):	Fax (work):
*Phone (mobile):	E-mail (required):

* You must provide either a private or a mobile number for the application to be processed.

PART 2 CLIENT CLASSIFICATION
<p>Client Classification In accordance with the MiFID Directive, Saxo Bank has to segment and classify all its clients into three categories: Retail, Professional and Eligible Counterparty.</p> <p>All clients will, as a point of departure, be classified as Retail Clients, in order to grant them the highest level of regulatory protection. Nevertheless, if you feel that this initial classification does not reflect your current level of knowledge and experience in certain (or the entire range of) investment products, you may select another classification in the Client Profile Screen on the SaxoTrader or by contacting your Account Manager.</p>

PART 3 PURPOSE AND SCOPE OF CLIENT RELATIONSHIP (MANDATORY)
<p>Purpose and scope of applying for an account with Saxo Bank</p> <p><input type="checkbox"/> Capital preservation/hedging (Minimise the potential for any loss of principal)</p> <p><input type="checkbox"/> Growth (Increase investment value over time while accepting price fluctuations)</p> <p><input type="checkbox"/> Speculation (Assume the highest degree of risk for potentially higher returns)</p>



PART 4 CORPORATE DISCLOSURE	Only to be completed by corporate clients.
Directors and Officers	
Number of board members:	
Chairman/president:	
Managing director/vice president:	
Authorised Signatories:	

PART 5 CORPORATE OWNERSHIP
<p>In order to comply with FATF and EU regulations on Anti Money Laundering, all credit institutions in the EU must verify the identity of selected private individuals connected to the corporate entity applying for an account. This may include private individuals owning more than 25% of the shares or voting rights in the corporate entity. Please list below:</p> <ul style="list-style-type: none"> • Individuals who ultimately own or control the company by direct or indirect ownership or control of more than 25% of the shares or voting rights in the company, except if the shares are listed on a regulated marketplace. • Individuals exercising control over the management of the company, in ways other than those listed above. • Individuals who, according to the articles of association or otherwise specified, are entitled to receive 25% or more of the distributed funds or other assets of a fund or similar legal arrangement, assuming these persons are known. • Individuals in whose main interest the fund or similar legal arrangement has been established or acts. • Individuals who exercise control over a minimum of 25% of the distributed funds or other assets of the fund or similar legal arrangement. <p>Please provide documentation confirming the ownership structure of your company.</p> <p>This could be in the form of a share certificate/register or a declaration of corporate structure form. Documentation regarding the corporate ownership should originate from or be verified by a public authority, notary public or a recognized external lawyer.</p> <p>Those individuals, who qualify as beneficial owners in accordance with the criteria listed above, must comply with the due diligence requirements stated in Section A – “Individual Clients”.</p> <p>Any significant changes in the ownership structure must be immediately reported to Saxo Bank. Please note that all information supplied is kept confidential in accordance with the Danish Financial Services Act.</p>



PART 6 | CHOICE OF ACCOUNT

Choice of account currency: *

* If not completed the account currency will default to GBP

PART 7 | GENERAL INTRODUCING BROKER DETAILS

Name Collins Sarri Statham Investments	Address 4 Royal Mint Court London EC3N 4HJ
E-mail: info@css-investments.com	Country: United Kingdom
Company reg no. 04828406	Telephone: 020 7481 6868

PART 8 | POWER OF ATTORNEY

I ("the Principal") hereby grant Power of Attorney to Collins Sarri Statham Investments ("the Attorney") to perform, execute and approve all transactions and legal acts according to Saxo Bank A/S's ("Saxo Bank") General Business Terms or any other business terms which are entered into with Saxo Bank and which govern the client relationship as if they were performed by the Principal itself.

Thus the Principal understands and agrees that:

1. Saxo Bank may accept from the Attorney, without any inquiry or investigation, any order for the purchase and sale of all instruments available on Saxo Bank's online trading systems including securities, derivatives, foreign exchange and futures in the Principal's account(s) on margin or otherwise;
2. Saxo Bank may accept from the Attorney, without any inquiry or investigation, any order regarding withdrawal and/or transfer of funds to the credit or debit of the Principal's account(s);
3. Saxo Bank shall have no responsibility or liability to the Principal in following the Attorney's instructions;
4. Saxo Bank is under no duty to supervise or otherwise know or review the trading conducted or advice or any other acts of the Attorney and Saxo Bank relies on the Principal monitoring the trading and transactions on the account(s) conducted by the Attorney;
5. Saxo Bank is allowed to reveal all information about the account to the Attorney and thus, for instance, send copy of any and all transaction notes, account statements etc. to the Attorney; and
6. Saxo Bank may establish internet trading facilities according to the instructions of the Attorney and thus enable the Attorney to execute trades on behalf of the Principal on any of Saxo Bank's internet trading systems.

This Power of Attorney shall remain in effect until revoked by duly signed written notice by the Principal (if such notice is sent by email then to: powerofattorney@saxobank.com). This Power of Attorney (and any dispute, controversy, proceedings or claims of whatever nature arising out of or in any way relating to this Power of Attorney or its formation or any act performed or claimed to be performed under it) shall be governed by and construed in accordance with Danish law. Each Party irrevocably agrees that the courts of Denmark shall have exclusive jurisdiction to determine any proceedings in connection with or arising out of this Power of Attorney.



PART 9 EXPERIENCE			
Trading experience	0-1 year <input type="checkbox"/>	1-5 years <input type="checkbox"/>	5-10 years <input type="checkbox"/> 10 years+ <input type="checkbox"/>
Are you currently receiving active portfolio advice?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
Which products have you previously traded?			
<input type="checkbox"/> Shares	<input type="checkbox"/> FX		
<input type="checkbox"/> Short term shares	<input type="checkbox"/> Commodities		
<input type="checkbox"/> CFDs	<input type="checkbox"/> Options		

PART 10 FINANCIAL INFORMATION			
Annual Income	£0-30K <input type="checkbox"/>	£30-75K <input type="checkbox"/>	£75-250K <input type="checkbox"/> £250K+ <input type="checkbox"/>
Stockmarket Portfolio Size	£0-50K <input type="checkbox"/>	£50-100K <input type="checkbox"/>	£100-250K <input type="checkbox"/> £250K+ <input type="checkbox"/>
Overall Net Worth	Under £50K <input type="checkbox"/>	£50-250K <input type="checkbox"/>	£250-500K <input type="checkbox"/> £500K+ <input type="checkbox"/>
Current Liquid Funds	Under £10K <input type="checkbox"/>	£10-50K <input type="checkbox"/>	£50K-100K <input type="checkbox"/> £100K+ <input type="checkbox"/>
Risk Capital (Funds you can afford to lose)	Under £5K <input type="checkbox"/>	Over £5K <input type="checkbox"/>	

PART 11 EMPLOYMENT HISTORY	
Current Relevant Occupation	
<input type="checkbox"/> Not in employment	<input type="checkbox"/> Not related to the financial sector
<input type="checkbox"/> Self employed	<input type="checkbox"/> Retired
<input type="checkbox"/> Within the financial sector	
Past Relevant Occupation	
<input type="checkbox"/> Not in employment	<input type="checkbox"/> Not related to the financial sector
<input type="checkbox"/> Self employed	<input type="checkbox"/> Retired
<input type="checkbox"/> Within the financial sector	



PART 12 | SIGNATURE

I/We declare by my/our signature(s):

- To have read, understood and agreed to the General Business Terms (including the Risk Disclosure Statement), the Business terms for Securities Trading, the Business Terms for Custody Management, the Business terms for International Transfer of Funds and all of their contents;
- To understand and accept that the General Business Terms (including the Risk Disclosure Statement), the Business Terms for Securities Trading, the Business Terms for Custody Management, the Business Terms for International Transfer of Funds as well as the Conflict of Interest Policy and the Best Execution Policy and any other relevant terms and conditions (as amended from time to time) apply to my/our entire trading relationship with Saxo Bank;
- To have received, read and understood the product information material relating to the relevant products;
- To have received additional in-depth verbal information about the products and the inherent possibilities and risks if so requested; and
- To have received satisfactory answers to all my/our questions regarding the terms, conditions and other issues relating to the relevant products.

Furthermore I/we confirm:

- That the information provided by me/us and inserted in this form is correct;
- That the investment amount has been chosen by me/us taking my/our total financial circumstances into consideration and is by me/us considered reasonable under such circumstances;
- That I/we have granted Power of Attorney to Collins Sarri Statham Investments in accordance with the provisions of Part 8 of this form;
- That I/we acknowledge that Saxo Bank is only able to provide advice to such effect, provided that I/we have supplied Saxo Bank with correct and adequate information in this Client Application Form or as otherwise requested by Saxo Bank; and
- That Saxo Bank is entitled to send newsletters or other investment material to me/us by e-mail, sms or similar electronic messaging services, and that I/we must inform Saxo Bank in writing or otherwise, if I/we do not wish to receive such material.

I/We acknowledge and agree that personal information submitted by me/us to Saxo Bank A/S:

- May be shared with any duly licensed financial entity within the Saxo Bank Group (as defined on www.saxobank.com) in accordance with the Danish Act on Processing of Personal Data;
- May be used by any entity within the Saxo Bank Group for the purpose of providing trade recommendations, trading activities, sales and marketing information including new products and services;
- May be shared with any Introducing Broker for the purpose of completing the due diligence and approving my/our application; and
- May be used to undertake a search with Experian or a similar service for the purposes of verifying my identity. To do so, Experian or similar service may check the details I supply against any particulars on any database (public or otherwise) to which they have access. They may also use my details in the future to assist other companies for verification purposes. A record of the search will be retained.

Date:	Signature:
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For any questions related to the completion of this form or required documents to submit, please contact your account executive at Collins Sarri Statham Investments on 020 7481 6868.

