

INSTRUCTIONS FOR COMPLETING

In order for Saxo Capital Markets to comply with its obligations towards AML/CTF, FATCA and other due diligence requirements, ALL relevant sections must be completed accurately and truthfully and further supporting documents must be provided if requested to enable Saxo Capital Markets to fulfil its obligations.

SUPPORTING DOCUMENTS

Saxo Capital Markets is able to verify Australian registered companies and the identity of individuals who are residents of Australia via electronic verification, however supporting documents may still be requested.

Trust/SMSF:

- Trust Deed, certified extract of the Trust Deed:
 - Front Page
 - Schedule Page revealing the Trustees, Beneficiaries & Full Name of the Settlor of the Trust
 - Declaration/Signature Page

Individuals as Trustee, Directors & Ultimate Beneficial Owners / Controlling Owners:

In order to verify your **FULL NAME, DATE of BIRTH & CURRENT RESIDENTIAL ADDRESS**, please use options below.

- Drivers Licence
- National Photo Identity Card
- Passport
- Utility Bill (*mailed out to the individual's current residential address, issued within the last 6 months*)

Company:

- Australian Company - registration certificates issued by ASIC
- Foreign Company - registration certificates issued by their foreign registration body

Verifying:

- Full Name of the company
- Whether the company is registered as a public or proprietary/private company
- ACN or ARBN or Registered Company Identification Number

Acceptable foreign residents - Individuals residing outside of Australia are required to provide 2 separate forms of identification as listed above, and must be **NOTARIZED** by an official public notary in the residing jurisdiction.

Australian residents must ensure their identification is **CERTIFIED** as a true copy of the original document by an authorised agent, refer to www.home.saxo/en-au > support > certifying identification for guidelines on certifying documents, and a list of acceptable certifying agents. Any identification document submitted must be valid and not expired.

If trading **margined/leveraged** financial products, the authorised dealer must complete a **CLIENT SUITABILITY ASSESSMENT**, prior to obtaining trading access. Available upon request via email: ps@saxomarkets.com.au

Saxo Capital Markets does not offer its financial products and services to individuals residing in jurisdictions where such use would constitute a violation towards applicable laws and regulations, including but not limited to residents of the United States of America.

SUBMIT YOUR APPLICATION

Attention: New Accounts

Email: ps@saxomarkets.com.au | **Fax:** +61 2 8267 9050 | **Post:** PO Box A839 Sydney South NSW 1235

PART 1A | ACCOUNT

Do you require a HIN (Holder Identification Number)?

Yes No

Note: By selecting Yes, the organization must have been registered in Australia. Completion of Part 15 is compulsory.

By selecting No, the account will not be CHESS sponsored.

PART 1B | TRUSTEE / SOLE DIRECTOR / DIRECTOR 1 PERSONAL DETAILS

Title: (Mr. / Mrs. / MS / Miss / Other)

Surname:

Given Names:

Date of Birth:

Residential Address:

State:

Post Code:

Country:

Time at current address: _____ years _____ months

Previous Residential Address (if less than three years at the above current residential address):

State:

Post Code:

Country:

Drivers Licence:

*What is your occupation?

*What industry sector:

**this is required in order to open your account. Saxo Capital Markets may ask for further clarification of the information you provide.*

Do you require Authorised Dealer Access to execute trades on this account? Yes No

If yes, please provide email: _____ Phone: _____

PART 2 | TRUSTEE / DIRECTOR 2 PERSONAL DETAILS

Title: (Mr. / Mrs. / MS / Miss / Other)

Surname:

Given Names:

Date of Birth:

Residential Address:

State:

Post Code:

Country:

Time at current address: _____ years _____ months

Previous Residential Address (if less than three years at the above current residential address):

State:

Post Code:

Country:

Drivers Licence:

*What is your occupation?

*What industry sector:

**this is required in order to open your account. Saxo Capital Markets may ask for further clarification of the information you provide.*

PART 3 | PRIMARY CONTACT DETAILS

Email Address:

Primary Phone Number:

Mobile Phone Number:

PART 4 | TRUST DETAILS

Full Name of the Trust:

Full Business Name (if any) of the trustee in respect of the Trust:

Type of Trust (e.g. SMSF):

ABN (if applicable):

Country in which the Trust was established:

Full Name of the Settlor of the Trust, unless:

-The Settlor is deceased; or

-Material contribution to the Trust by the Settlor at the time the trust was establishment was less than \$10,000; or

-The Trust is a managed investment scheme registered with ASIC, or not registered with ASIC and only has wholesale clients and does not make small scale offerings; or the Trust is registered and subject to oversight of a Commonwealth statutory regulator; or the Trust is a government superfund.

Provide the full name and address of any additional trustees not already mentioned in Part 1 and Part 2.

Full Name & Address: _____

Full Name & Address: _____

Full Name & Address: _____

PART 5 | DETAILS OF BENEFICIARIES

Please provide Full Name of each beneficiary, or where there is a class of beneficiary, the name of the class:

Full name OR Name of the Class: _____

Full Name: _____

Full Name: _____

Full Name: _____

PART 6 | POLITICALLY EXPOSED PERSON

Are any of the individuals, directors, ultimate beneficial owners or controlling owners of this Trust a Politically Exposed Person (PEP), or closely associated with, or is an immediate family member to a Politically Exposed Person? *Use a separate sheet if more space is required.*

- No
- Yes ► *provide full name below*

PEP 1 Full Name:

PEP 2 Full Name:

A politically exposed person' (PEP) is an individual who holds a prominent public position or function in a government body or an international organisation, or is an immediate family member or close associate of an individual who holds a prominent public position or function in a government body or an international organisation.

PART 7 | COMPANY AS TRUSTEE DETAILS

Complete this section for AUSTRALIAN or REGISTERED FOREIGN AUSTRALIAN COMPANY

Full name of the company as registered by ASIC:

Full address of company's registered office:

Full address of the company's principal place of business, if any:

ACN: *for Australian registered company*

ABN: *for Australian registered company*

ABN Exemption*?

Yes No

**Note: By selecting Yes, the entity is not required to lodge a tax return.*

By selecting No, the entity is required to lodge for tax return. Please consult tax accountant for information.

ARBN: *for registered foreign company*

Is the company a registered foreign company, registered by a foreign registration body?

No

Yes ► *Name of foreign registration body:* _____

Is the company registered as a public or proprietary/private company?

Public

Other, please specify _____

Proprietary/Private ► *provide Full Name of any additional directors not already mentioned in Part 1 and Part 2:*

Full Name Director 3: _____

Full Name Director 4: _____

Use a separate sheet if more space is required.

Complete this section for FOREIGN COMPANY

Full Name of the company:

Country in which the company was incorporated or registered:

Is the company registered by their relevant country's foreign registration body?

No ► *provide full address of the principle place of business in its country of incorporation:* _____

Yes ► *complete the below*

Registration or company identification number issued by the foreign registration body: _____

Full Address of the company as registered with foreign registration body: _____

FOREIGN COMPANY Details continues over next page

FOREIGN COMPANY *continued*

Is the company registered as a public or proprietary/private company by the relevant registration body?

- Public
- Other, please specify _____
- Proprietary/Private ► provide Full Name of any additional directors not already mentioned in Part 1 and Part 2.

Full Name Director 3: _____

Full Name Director 4: _____

Use a separate sheet if more space is required.

PART 8 | ULTIMATE BENEFICIAL OWNERS / CONTROLLING OWNER

Please list the names and details of any person who ultimately owns 25% or more (either directly or indirectly) of the issued capital of the trust or trustee, OR any person who exercises controls to the capacity to determine decisions about financial and operating policies of the trust/entity.

Please attach a certified copy of a photographic identification revealing each beneficial owner's **Full Name, Date of Birth & Residential Address**. By completing the below, each beneficial owner consents to electronic verification unless notified to Saxo Capital Markets in writing advising otherwise. *Use a separate sheet if more space is required.*

If there are no individuals who qualify as an Ultimate Beneficial Owner/Controlling Owner, as defined above then please tick (✓) this box

Beneficial Owner 1

Full Name: _____ Date of Birth: _____

Residential Address: _____

Beneficial Owner 2

Full Name: _____ Date of Birth: _____

Residential Address: _____

Beneficial Owner 3

Full Name: _____ Date of Birth: _____

Residential Address: _____

Beneficial Owner 4

Full Name: _____ Date of Birth: _____

Residential Address: _____

PART 9 | CHOICE OF PRIMARY ACCOUNT CURRENCY

Please tick one currency box

Australian Dollar	AUD	(default currency)
New Zealand Dollar	NZD	
Singapore Dollar	SGD	
US Dollar	USD	
Japanese Yen	JPY	
Hong Kong Dollar	HKD	
Euro	EUR	
Canadian Dollar	CAD	
Great British Pounds	GBP	

PART 10 | NOMINATED BANK ACCOUNT

Bank Account Name	
BSB & Account Number	
Bank Name, Branch & Country	

Saxo Capital Markets may request for a bank statement at any time for the purposes of AML/CTF Regulations, in order to verify the origin or destination of funds in/out of your trading account with Saxo Capital Markets. It is Saxo Bank Group policy to not accept third party transactions, therefore please ensure that any funds transferred in/out of your trading account is associated with a bank account under the same name as your trading account. Bank Cheques or Physical Cash Deposits are also not acceptable methods of payments.

PART 11 | ADDITIONAL AUTHORISED DEALER ACCESS FOR COMPANY AS TRUSTEE

Please complete the below for any employees of the company requiring Authorised Dealer Access. Please note that for any third parties, a power of attorney form must be completed. Authorised Dealer Access is only relevant to employees of the company.

FULL NAME	EMAIL ADDRESS	PHONE NUMBER

Please note that a Client Appropriateness Assessment must be completed by the Authorised Dealer prior to obtaining trading access. Please email ps@saxomarkets.com.au for a copy of the Client Appropriateness Assessment.

PART 12 | PURPOSE AND SCOPE OF CLIENT RELATIONSHIP (ALL FIELDS ARE MANDATORY)

What is your purpose for applying for an account at Saxo Capital Markets (Australia)? (Please tick only one option)

- Capital preservation / hedging (minimise the potential for any loss of principal)
- Growth (increase investment value over time while accepting price fluctuations)
- Speculation (assume the highest degree of risk for potentially higher returns)

How much do you intend to invest (AUD)?

- | | |
|--|---|
| <input type="checkbox"/> < 5,000 | <input type="checkbox"/> 500,001-750,000 |
| <input type="checkbox"/> 5,001-10,000 | <input type="checkbox"/> 750,001-1,000,000 |
| <input type="checkbox"/> 10,001-50,000 | <input type="checkbox"/> 1,000,001 -1,500,000 |
| <input type="checkbox"/> 50,001-100,000 | <input type="checkbox"/> 1,500,001 -2,000,000 |
| <input type="checkbox"/> 100,001-200,000 | <input type="checkbox"/> 2,000,001-3,000,000 |
| <input type="checkbox"/> 200,001-300,000 | <input type="checkbox"/> 3,000,001 -4,000,000 |
| <input type="checkbox"/> 300,001-400,000 | <input type="checkbox"/> 4,000,001-5,000,000 |
| <input type="checkbox"/> 400,001-500,000 | <input type="checkbox"/> < 5,000,000 |

What is approximately your level of investable assets (AUD)?

- < 5,000
- 5,000 - 50,000
- 50,001 - 500,000
- 500,001 - 1,500,000
- 1,500,001 - 5,000,000
- > 5,000,000



PART 13 | FATCA STATUS (US FOREIGN ACCOUNT TAX COMPLIANCE ACT) STATUTORY DECLARATION

Disclaimer: This form is not intended for Financial Institutions. Therefore a legal entity with FATCA status of Foreign Financial Institution (FFI) cannot make status declaration here.

- Trust (Go to Part 13 A and complete the remainder of the form)
- Self-managed Superannuation Fund (Go to Part 14 Certification)
- For further assistance and additional forms please go to www.irs.gov/businesses/corporations/foreign-account-tax-compliance-act-fatca

PART 13 A

On behalf of the legal Trust:

I/ We declare our FATCA status (Chapter 4 of the US Internal Revenue Code) to be:

- Publicly traded Non-Financial Foreign Entity (NFFE) or NFFE affiliate of publically traded corporation
 - The entity is a foreign corporation that is not a financial institution.
 - The name of the entity, the stock which is regularly traded on an established securities market, is _____ and;
 - The name of the securities market on which the stock is regularly traded is _____
 - The ISIN number of the shares regularly traded on the securities market is _____

- Active Non-Financial Foreign Entity (NFFE)
 - The entity is a foreign corporation that is not a financial institution.
 - Less than 50% of the entities gross income for the preceding income calendar year is Passive Income¹, and Less than 50% of the assets held by the entity are assets that produce or are held for the production of Passive Income (calculated as a weighted average of average of the percentage of passive assets measured quarterly).

- Passive Non-Financial Foreign Entity (NFFE)
 - The entity is a foreign corporation that is not a financial institution.
 - The entity has no substantial U.S. owners², or
 - The entity has the following substantial U.S. owners:

1. US Person:

Direct or indirect holding percentage (above 25 percent): _____

Name: _____ TIN: _____

Address: _____

2. US Person:

Direct or indirect holding percentage (above 25 percent): _____

Name: _____ TIN: _____

Address: _____

3. US Person:

Direct or indirect holding percentage (above 25 percent): _____

Name: _____ TIN: _____

Address: _____

Note: If the entity/corporation’s FATCA Status is not NFFE in one of the listed forms above, the entity/corporation’s FATCA Status must be declared in a separately provided Form W-8BEN-E or in a FFI declaration.

1. Passive Income is generally defined as: dividends, interest, rents, royalties, annuities, and certain other forms of passive income, see Form W-8BEN-E for further definition. Substantial U.S. owners are generally defined as: a US owner with directly or indirectly, more than 25 percent of the entity stock (by vote or value), as defined in the U.S. Treasury FATCA.

2. Regulations section 1.1473-3(b). In some jurisdictions, the threshold for reportable holdings may exceed 25 percent. For that purpose the exact percentage shareholdings is needed



PART 13 B | CLAIM FOR US TAX TREATY BENEFITS – U.S. WITHOLDING TAX TREATY STATEMENT

(Only for non-individual Entities/Corporates)

Entities/corporations in jurisdictions that have concluded a tax treaty with the U.S. may under the provisions of such tax treaty be eligible for reduced rates on withholding taxes on income derived from sources in the U.S. The applicability of treaty benefits, however, depends on whether the recipient meets the provisions in the specific tax treaty, including any limitation of benefits provisions. It is your responsibility to ensure that such provisions are met. Please consult with your tax advisor on treaty benefit issue.

Please tick off below declaration if you want to claim tax treaty benefits:

(Company name) _____ meets all the provisions of the Tax Treaty between US and (country) that are necessary to claim a reduced rate of withholding, including any limitation on benefits provision, and derives the income within the meaning of section 894 of the US Internal Revenue Code, and the regulations thereunder, as the beneficial owner. The following are types of limitation on benefits provisions that may be included in the applicable tax treaty (click only one):

- Government
- Other tax exempt organization
- Subsidiary of publicly traded corporation
- Tax exempt pension trust of pension fund
- Company with an item of income that meets active trade or business test
- Favorable discretionary determination by the U.S. competent authority received
- Other (specify Article and paragraph) _____
- Company that meets the ownership and base erosion test
- Publicly traded corporation
- Company that meets the derivative benefits test

Part 13 C | CRS (COMMON REPORTING STANDARD IN OECD CONTEXT)

Only complete this section if the entity is tax resident in more/other countries than the country of registered address:

Country of residency	Address	TIN	No TIN available (x)		

Please attach a separate document if further countries of residency.

For the purpose of CRS due diligence and reporting requirements imposed on Saxo Bank, please provide the entity's CRS information below. I/We declare that:

- The entity's/corporation's CRS classification is identical to the FATCA status.
- The entity's/corporation's CRS classification is not identical to the FATCA status. The entity's CRS status is: _____

If the entity's/corporation's CRS status is Passive NFE, please indicate the name of any Controlling Person(s) of the entity/corporation:

Name	Country of tax residence	Address	TIN

Please attach a separate document if further controlling persons.

PART 14 | CERTIFICATION

By signing this form I/we consent to the below disclosure:

- The information may be disclosed for the purposes of meeting regulatory requirements conducting risk management, investment services and other services offered by Saxo Capital Markets (Australia) Pty LTD, marketing and administering the client relationship.

I declare under penalties of perjury that information given in part 1 and 2 of this form to the best of my knowledge is true, correct and complete.

I further certify under penalties of perjury that:

- The entity identified in Part 2 is not a US person
- The income to which this form relates is:
 - (a) not connected with the conduct of a trade or business in the United States,
 - (b) connected but is not subject to tax under an income tax treaty, or
 - (c) the partner's share of a partnership's effectively connected income
- For broker transactions or barter exchange, the beneficial owner is an exempt foreign person. A foreign person includes a foreign corporation, a foreign partnership, a foreign trust, a foreign estate, and any other person that is not a U.S. person. It also includes a foreign branch or office of a U.S. financial institution or U.S. clearing organization if the foreign branch is a qualified intermediary (QI). Generally, a payment to a U.S. branch of a foreign person is a payment to a foreign person.

Further, I agree that I will submit a new form within 30 days if any certification given in this form becomes incorrect.

Signature _____

Name _____

Date _____

I certify that I have authorisation to sign on behalf of the above.

PART 15 | CHESS SPONSORSHIP

If you indicated Yes in Part 1A, please read and agree to the terms and conditions below:

CHESS or Clearing House Electronic Sub-register System is a centralised electronic system that manages the settlement and registration of certain financial products traded on the Australian Securities Exchange (ASX). CHESS is operated by ASX Settlement Pty Limited, a wholly owned subsidiary of ASX. Only participants registered with ASX may control financial products on CHESS.

Saxo Capital Markets' execution, settlement and clearing participant for financial products traded on ASX is OpenMarkets Australia Ltd AFSL 245705 (OpenMarkets). OpenMarkets is a participant registered with ASX and will establish and administer CHESS Sponsored Accounts for clients of Saxo Capital Markets upon acceptance of the following terms and conditions.

I/We instruct OpenMarkets Australia Ltd AFSL 246705 (OpenMarkets) to establish a Chess Sponsored Account for me/us. I/ We acknowledge that I/We have received, read and agree to be bound by the OpenMarkets <hyperlink Client Agreement> including Part 2 CHESS Sponsorship. I/We also acknowledge that I/We have received, read and understood the OpenMarkets Financial Services Guide and Best Execution Policy. The documents referred to are available at <hyperlin to OpenMarkets documents>.

Upon the acceptance of this application, the opening of an account for the Applicant and the issue of a HIN by OpenMarkets, OpenMarkets will be taken to have agreed to be bound by and to have signed the OpenMarkets Client Agreement.

I confirm that I have read and agree to the above Terms and Conditions

PART 16 | CLIENT AGREEMENT DECLARATION

I/We consent by my/our signature(s) on behalf of the SMSF/Trust:

- I/We have read and understood Saxo Capital Markets' Combined Financial Services Guide & Product Disclosure Statement and any Supplementary Product Disclosure Statement including the General Business Terms. I/We hereby agree to be bound by the General Business Terms and other relevant terms and conditions (as amended from time to time) that apply to my/our entire trading relationship with Saxo Capital Markets.
- I/We have read and understood the Risk Warning disclosure available via www.home.saxo/en-au
- I/We have read, understood and agree to the Privacy Policy, and consent to Saxo Capital Markets using my/our personal details provided in this application form to electronically verify my/our identity and any listed beneficial owner for KYC obligations towards AML/CTF regulations. Further, I/we agree to provide Saxo Capital Markets with any additional information if requested in order for Saxo Capital Markets to comply with AML/CTF rules and regulations. I/We agree to disclose the Privacy Policy to any individuals whose personal information is obtained by Saxo Capital Markets in connection with its provision of services to the corporate.
- I/We have read and understood the Best Execution Policy, Conflicts of Interest Policy, Market Conduct Information, the Commission Charges & Margin Schedule and any other terms and conditions (as amended from time to time) that apply to my/our entire relationship with Saxo Capital Markets.
- I/We confirm that the information provided by me/us in this application form is true, correct and complete.
- That for non-corporate accounts, I/we act in my/our own name as specified above and not on behalf of a third party in respect of all matters related to this client relationship. Accordingly, all funds to be deposited and traded on the account with Saxo Capital Markets are my/our own funds.
- That I/we confirm that where we are a corporate, I/we declare that I/we act on behalf of the named legal entity/corporation and not on behalf of a third party in respect of all matters related to this client relationship. Accordingly, all funds to be deposited and traded on the account with Saxo Capital Markets are the own funds.
- I/We agree to give Saxo Capital Markets notice in writing of any change in particulars given above and to submit relevant documentary proof to Saxo Capital Markets.
- I/We consent to receive material information from Saxo Capital Markets regarding Saxo Capital Markets products and services.
- I/We agree that the Entity's FATCA and CRS Status and my/our tax residency status declaration as confirmed by me/us in this client application form is accurate, complete and up to date. I/We agree to notify Saxo Capital Markets immediately should the Entity's FATCA or CRS status and/or my/our tax residency status change at any time.
- I/We agree that only those persons specified in this application form, or otherwise notified to Saxo Capital Markets, as authorised dealers and who have submitted to Saxo Capital Markets a completed Client Suitability Assessment may execute trades on our account (unless Saxo Capital Markets otherwise accepts instructions in accordance with the General Business Terms). Any person who is not authorised to execute trades will be limited to receiving "view only" access to our account.

Signature of Trustee/Director/Authorised Signatory 1

Signature of Trustee/Director/Authorised Signatory 2

Full Name of Trustee/Director/Authorised Signatory 1

Full Name of Trustee/Director/Authorised Signatory 2

Date:

Date:



PART 17 | DEED OF GUARANTEE & INDEMNITY

Each Trustee of the Trust and director of corporate Trustee (if applicable) must sign this Deed of Guarantee and Indemnity.

- This Deed of Guarantee and Indemnity is made by each Guarantor on the date first set out in the execution clause for that Guarantor and is in favour of Saxo Capital Markets (Australia) Limited ABN 32 110 128 286 (and its successors and assignees).
- The conditions governing this Deed of Guarantee and Indemnity are set in the General Business Terms, in particular at clause 27. The relevant provisions of the Terms are incorporated into this Deed of Guarantee and Indemnity as though set out in full.

Signed, sealed and delivered by Guarantor 1

in the presence of:

Signature of witness

Guarantor 1 Signature

Print name of witness

Guarantor 1 Name

Address of witness

The witness must be over 18 and not a family member of the Guarantor or any member of the Trust.

Signed, sealed and delivered by Guarantor 2

in the presence of:

Signature of witness

Guarantor 2 Signature

Print name of witness

Guarantor 2 Name

Address of witness

The witness must be over 18 and not a family member of the Guarantor or any member of the Trust.



CORPORATE Client use of “Withdrawal Cash” & “Inter Account Transfer” Module

For customer convenience, Saxo Capital Markets (Australia) Pty Ltd (“Saxo”) allows its Corporate Clients to access the “Withdraw Cash” and “Inter Account Transfer” modules (“Cash Withdrawal Module”) in the Trading Platform. The Cash Withdrawal Module enables the transfer of funds between the Corporate Client’s accounts held with Saxo as well as to facilitate the withdrawal of funds from the Corporate Client’s account(s) to their nominated bank account.

Although the Cash Withdrawal Module may enable transfers of funds to be more convenient for the Corporate Client, they do entail some key risks which the Corporate Client must understand and accept by signing this document before being allowed to access the Cash Withdrawal Module on the Trading Platform.

RISK WARNING - USER-SPECIFIC ACCESS IS NOT POSSIBLE

The Cash Withdrawal Module are not user-specific. Therefore any user with access to the Corporate Client’s account(s) through the Trading Platform will be able to withdraw funds from the account and carry out inter account transfers. As such, Saxo cannot verify the identity of the user executing transactions through the Cash Withdrawal Module and consequently, Saxo cannot verify the user’s authority to effect the transfer of funds.

Therefore, the Corporate Client accepts and acknowledges by signing this document that controls are not available to validate user identity for transactions executed via the Cash Withdrawal Module in the Trading Platform and that Saxo shall be entitled to deem that any transfer requested through the Cash Withdrawal Module are effected by the Corporate Client’s authorised personnel.

RESPONSIBILITY OF CORPORATE CLIENT

The Corporate Client shall have the full responsibility and liability to ensure that only authorised personnel are permitted to use the Trading Platform, including the Cash Withdrawal Module. If the Corporate Client wishes to disable the Cash Withdrawal Module from the Trading Platform, the Corporate Client must notify Saxo through a duly signed written notice. The modules shall not be considered to be disabled until the Corporate Client has received a written confirmation from Saxo to this effect.

EXCLUSION OF LIABILITY

Saxo shall not assume any responsibility and/or liability for any transactions executed by use of the Cash Withdrawal Module.

Saxo reserves the right to remove these modules from the Corporate Client’s Trading Platform without prior notification.

This document is subject to Saxo’s General Business Terms and any other business terms (as amended from time to time), which are entered into between Saxo and the Corporate Client.

By signing this document, I/We declare to have read, understood and accepted all of the above conditions:

Company Name/Client ID: _____ Date: _____

Full Name Sole Director/ Director 1/Authorised Signatory 1

Full Name Director 2/Authorised Signatory 2

Signature Sole Director/ Director 1/Authorised Signatory 1

Signature Director 2/Authorised Signatory 2

FATCA & CRS HELP

PLEASE NOTE THAT SAXO CAPITAL MARKETS IS NOT A REGISTERED TAX SPECIALIST AND IS THEREFORE NOT IN A POSITION TO PROVIDE ANY TAX RELATED ADVICE. ANY INFORMATION CONTAINED HEREIN IS FOR YOUR GENERAL INFORMATION ONLY, AND DOES NOT CONSTITUTE TAX AND/OR LEGAL ADVICE, AND SHOULD NOT BE RELIED UPON AS SUCH. PLEASE SEEK INDEPENDENT TAX, LEGAL OR OTHER PROFESSIONAL ADVICE BEFORE COMPLETING ANY FATCA/US TAX/OECD CRS STATUTORY DECLARATION.

1. FATCA - Instructions for W-8BEN-E - www.irs.gov/pub/irs-pdf/iw8bene.pdf
2. CRS GUIDELINES - www.oecd.org/tax/automatic-exchange/common-reporting-standard

FATCA & CRS STATUS	DESCRIPTION
FINANCIAL INSTITUTION	FATCA - Custodial Institution, Depository Institution, Specified Insurance Company or an *Investments Entity. <i>*Investment Entity for the purposes of CRS is an Entity which is located in a Non-Participating Jurisdiction and managed by another Financial Institution</i>
EXEMPT BENEFICIAL OWNER	Entities that are exempt beneficial owners or deemed-compliant FFI as per IGA ² . E.g. SMSF
PUBLICLY TRADED NFFE OR AFFILIATE OF A PUBLICLY TRADED CORPORATION	Non-financial public company listed/traded on one or more established stock exchanges, or an affiliate of a listed/traded non-financial public company
ACTIVE NFFE³ ACTIVE NFE⁴	FATCA – ACTIVE NFFE An non-financial company that has less than 50 percent of its gross income for the previous tax year consisting of passive income <u>and</u> less than 50 percent of the weighted average of its assets that produce or are held for the production of passive income Passive income: includes but is not limited to dividends, interest, rents, royalties, annuities. CRS – ACTIVE NFE Active NFEs by reason of income and assets; publicly traded NFEs; Governmental Entities, International Organisations, Central Banks, or their wholly owned Entities; holding NFEs that are members of a nonfinancial group; start-up NFEs; NFEs that are liquidating or emerging from bankruptcy; treasury centres that are members of a nonfinancial group; or non-profit NFEs.
DIRECT REPORTING NFFE OR SPONSORED DIRECT REPORTING NFFE	An entity that elects to directly report information annually about its substantial US owners to the IRS, or engages another qualifying entity to act as the sponsoring entity and reports information about the NFFE’s substantial US owners.
EXCEPTED NON-FINANCIAL START-UP COMPANY	Non-financial company with no operating history as yet.
EXCEPTED NON-FINANCIAL ENTITY IN LIQUIDATION OR BANKRUPTCY	Entities in liquidation or bankrupt.
NON-FINANCIAL GROUP ENTITY	Refer to Part XVIII of the W-8BEN-E form http://www.irs.gov/pub/irs-pdf/fw8bene.pdf and meet all the requirements for this FATCA status.
PASSIVE NFFE	An entity that is none of the above.

² Inter-Governmental Agreement (Australia-US)

³ Non-Financial Foreign Entity

⁴ Non-Financial Entity