



JOINT ACCOUNT APPLICATION FORM

Before completing this application form, please ensure that each joint account holder has obtained and read the information regarding the products and services provided by Saxo Capital Markets UK Ltd ("SCML") and all relevant terms and policies made available, and updated from time to time, on our website (www.saxomarkets.co.uk)

Please note that Saxo Capital Markets UK Ltd accepts joint accounts between two persons and only between first line family members defined as: spouse, siblings, parents and children.

PLEASE COMPLETE THE FORM IN BLOCK LETTERS AND IN BLACK OR BLUE INK. ALL ITEMS WITH * MUST BE PROVIDED.

Once completed, this form should be sent to Saxo Capital Markets UK Ltd at the business address below or alternatively please email a scanned copy of the completed application to privatesalesuk@saxomarkets.com or fax the completed application to +44 (0) 207151 2001

Saxo Capital Markets UK Ltd, 40 Bank Street, Canary Wharf, London E14 5DA, United Kingdom
Company registered in England & Wales No.: 7413871
Authorised and regulated by the Financial Conduct Authority



JOINT ACCOUNT APPLICATION FORM

ALL ITEMS WITH * MUST BE PROVIDED.

Part 1 | Personal Details (First Applicant)

NAME AS ON PASSPORT

*Forenames: First Name Other name(s)
*Surname:
*Gender: Male Female
*Date of Birth: DD / MM / YYYY

*Town/City of Birth:
*Country of Birth:
*Nationality:
Do you hold multiple nationality?
If so please list:

*IF YOU HAVE BEEN AT YOUR CURRENT ADDRESS FOR LESS THAN 3 YEARS, PLEASE ALSO PROVIDE YOUR PREVIOUS ADDRESS

*Current Residential address:
*Flat No./Building Name:
*House Name/No. & Street:

*Town/City:
County: *Postcode:
*Country:
*Which countries are you resident in for tax purposes?
(Please list all)

*Previous Residential address:
*Flat No./Building Name:
*House Name/No. & Street:

*Town/City:
County: *Postcode:
*Country:
*UK National Insurance No. or other Tax ID.:

If applicable
U.S. Tax Identification No.:

Part 2 | Contact Details (First Applicant)

*Primary Telephone No.: (Including country and area code)
Secondary Telephone No.: (Including country and area code)
*E-mail Address:

Part 3 | Sources of Funds & Employment Details (First Applicant)

*Please indicate the source(s) of your funds for trading
(select by ticking all that apply):

- Employment
 Pensions(s)
 Inheritance

- Self-employed business
 Savings & Investments only
 Retired
 Unemployed
 Student
 Other (Please state):

If you have indicated that a source of funds is 'Employment', please confirm your employer details. Please note that no reference will be sought.

*Employer Name:
*Nature of the Business:
*Job Title:

If you have indicated that a source of funds is 'Self-Employed', please confirm the business details.

*Business Name:
*Estimated Annual Turnover:
*Nature of the business:

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Part 4 | Financial Details (First Applicant)

* Monthly Income after tax:

* Monthly outgoings (Living expenses, mortgage & other payments):

* Estimated value of all Savings & Investments (i.e excluding any property ownership value):

JOINT ACCOUNT APPLICATION FORM

ALL ITEMS WITH * MUST BE PROVIDED.

Part 1 | Personal Details (Second Applicant)

NAME AS ON PASSPORT

*Forenames: First Name Other name(s)
*Surname:
*Gender: Male Female
*Date of Birth: DD / MM / YYYY

*Town/City of Birth:
*Country of Birth:
*Nationality:
Do you hold multiple nationality?
If so please list:

*IF YOU HAVE BEEN AT YOUR CURRENT ADDRESS FOR LESS THAN 3 YEARS, PLEASE ALSO PROVIDE YOUR PREVIOUS ADDRESS

*Current Residential address:
*Flat No./Building Name:
*House Name/No. & Street:

*Town/City:
County: *Postcode:
*Country:
*Which countries are you resident in for tax purposes?
(Please list all)

*Prevoius Residential address:
*Flat No./Building Name:
*House Name/No. & Street:

*Town/City:
County: *Postcode:
*Country:
*UK National Insurance No. or other Tax ID.:

If applicable
U.S. Tax Identification No.:

Part 2 | Contact Details (Second Applicant)

*Primary Telephone No.: (Including country and area code)
Secondary Telephone No.: (Including country and area code)
*E-mail Address:

Part 3 | Sources of Funds & Employment Details (Second Applicant)

*Please indicate the source(s) of your funds for trading
(select by ticking all that apply):

- Employment
 Pensions(s)
 Inheritance

- Self-employed business
 Savings & Investments only
 Retired
 Unemployued
 Student
 Other (Please state):

If you have indicated that a source of funds is 'Employment', please confirm your employer details. Please note that no reference will be sought.

*Employer Name:
*Nature of the Business:
*Job Title:

If you have indicated that a source of funds is 'Self-Employed', please confirm the business details.

*Business Name:
*Estimated Annual Turnover:
*Nature of the business:

JOINT ACCOUNT APPLICATION FORM

ALL ITEMS WITH * MUST BE PROVIDED.

Part 4 | Financial Details (Second Applicant)

* Monthly Income after tax:

* Monthly outgoings (Living expenses, mortgage & other payments):

* Estimated value of all Savings & Investments (i.e excluding any property ownership value):

ALL ITEMS WITH * MUST BE PROVIDED.

Part 5 | Principal Contact Details for the Joint Account

* Primary Telephone No.: (Including country and area code)

Secondary Telephone No.: (Including country and area code)

* E-mail Address:

Part 6 | Currency of the Main Joint Account

* Please state the currency of the main account: (The default currency will be GBP if left blank)

Part 7 | Signature & Declarations

To comply with The Money Laundering Regulations, SCML is required to collect information about each applicant and to undertake checks on each applicant's identity and residential address, including accessing and using information held in database or other electronic format through other agencies.

When SCML is required to carry out electronic verification, data may be required to be shared to agencies. SCML shall ensure this data is shared in a protected manner and any data not retained unless required for further verification. SCML may also request further supporting documentation to verify these details. The information may be disclosed to law enforcement agencies and other relevant organisations for crime detection and prevention purposes.

All exchanged data will be done in a secure manor and only required information will be shared. If you have any questions about how we handle your personal information, please email us at privacy@saxobank.com.

Marketing Communication

We occasionally would like to contact you to give you information about products and services offered that are similar or related to the product and services provided or previously provided to you as well as news and events.

Please tick here if you would like to be kept informed of all marketing related matters by SCML.

You have the right to unsubscribe and change your preferences at any time for marketing purposes. You can do this by logging on to your account or clicking unsubscribe on any of the marketing emails we send you.

JOINT ACCOUNT APPLICATION FORM

Declaration

We declare that:

- We have read and understood the nature and the risk of the product(s) that we intended to trade in this account;
- We act in our name as specified on this application form and not on behalf of another party in respect of all matters related to this joint account. Accordingly, all funds to be deposited and transacted on the account are our own funds;
- We are unaware of any health or other conditions, severally or jointly, that may affect the proper operation of the joint account;
- We have provided true, accurate and complete information and undertake to update SCML of any changes to the information provided without delay;
- We accept that in certain circumstances SCML will be obliged to share information with UK tax authorities, who may pass it on to other tax authorities.
- We have obtained from the website (<http://uk.saxomarkets.com>), read and understood the following:
 - a) The General Business Terms (including product risks disclosure detailed in Schedule 1 to these General Business Terms),
 - b) Order Execution Policy,
 - c) Conflict of Interest Policy,
 - d) Commission, Charges & Margin Schedule
- We consent to the Order Execution Policy and for any orders to be executed outside a regulated market or a multilateral trading facility;
- We consent for any of unexecuted limit orders not to be made public; and
- We accept and agree to be bound by the terms provided above and consent to such terms and information including future updates to these be provided to us by way of posting on the website indicated above.

*Signature:

*Date:

*Name:

1st Applicant

2nd Applicant

PRODUCT ASSESSMENT QUESTIONNAIRE

Application type	Who should complete this form
Individual Client Account (excluding Essential)	The applicant
Joint Account	Each joint account applicant
Corporate Account	Applicant authorised to operate account
Trust Client Account	Main applicant intending to operate the account
ISA & SIPP Accounts	The applicant
SSAS Account	SSAS Trustee(s)

This Product Assessment Questionnaire forms part of your application form. Before completing this form and the accompanying application form, please ensure that you have obtained and read all the information regarding the products and services provided by Saxo Capital Markets UK Ltd ("SCML") and all relevant terms and policies made available, and updated from time to time, on our website home.saxo/uk

Once completed this form should be sent to Saxo Capital Markets UK Ltd at the business address below or alternatively please email a scanned copy of the completed application to ContractsUK@saxomarkets.com

Please tick the box as appropriate

TARGET MARKET ASSESSMENT

1. Please indicate your level of education

- Secondary School
- College
- Undergraduate degree
- Postgraduate degree

2. What is your knowledge of financial investments and the financial markets?

- No knowledge and no perception of risks involved
- Limited knowledge and some perception of risks involved
- Thorough knowledge and fully aware of risks

3. What is your investment objective?

- Long term capital growth/income generation
- Short term speculative/day trading
- Hedging
- Other

4. What is your investment horizon

- Less than 1 month
- Less than 1 year
- 1-3 years
- 3-5 years
- More than 5 years

5. Which of the following best describes your attitude to risk and ability to bear losses when trading?

- I am not prepared to take any risk and cannot bear any losses
- I am prepared to take risk and am able to lose the amount invested
- I am prepared to take risk and am able to bear losses exceeding the amount invested when trading products on margin

6. Please indicate how much you intend to invest (GBP)

- | | |
|--|--|
| <input type="checkbox"/> <5,000 | |
| <input type="checkbox"/> 5,000 – 10,000 | <input type="checkbox"/> 500,001 – 750,000 |
| <input type="checkbox"/> 10,001 – 50,000 | <input type="checkbox"/> 750,001 – 1,000,000 |
| <input type="checkbox"/> 50,001 - 100,000 | <input type="checkbox"/> 1,000,001 – 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 |

PRODUCT SELECTION

Please indicate which products you are interested in trading with us:

- Forex (if you wish to trade Forex please complete questions 1 – 8, Additional Information and Declarations sections)
- CFDs (if you wish to trade CFDs please complete questions 1 – 8, Additional Information and Declaration sections)
- Futures (if you wish to trade Futures please complete questions 1 and 9 – 14, Additional Information and Declaration sections)
- Options Futures (if you wish to trade Futures please complete questions 1 and 9 – 14, Additional Information and Declaration sections)
- Equities (if you wish to trade equities and/or Bonds only, please go directly to the Additional Information and Declarations sections)
- Bonds (if you wish to trade Bonds and/or equities only, please go directly to Additional Information and Declarations sections)

EXPERIENCE AND PROFESSIONAL QUALIFICATIONS

- 1. Do you have any relevant qualifications or have you worked in a position for at least 3 years that would require your knowledge of margined products? (e.g. CFDs, FX, Spread Bets, Options, Futures) and ETFs/ETCs/ETNs**
 - Yes
 - No

FOREX, CFDS AND SPREAD BETS

- 2. How many years have you been trading these products on a non-advised basis?**
 - 0 - 1 year
 - 1 - 5 years
 - More than 5 years
- 3. What is your average number of trades per month in these products over the last 12 months on a non-advised basis? (numerical value)**
 - less than 2
 - Between 2-10
 - More than 10
- 4. What is the average value of your trades in Forex per month over the last 12 months on a non-advised basis?**
 - £0-50k
 - £50K-1M
 - £1M +

5. **What is the average value of your trades in CFDs/Spread Bets per month over the last 12 months on a non-advised basis?**
- £0-5k
 - £5K and £20K
 - £20K +
6. **If the margin requirement for a CFD with a notional value of 1,000 USD is 100 USD, what is the leverage?**
- 10 times
 - 100 times
 - No leverage
7. **If you buy EURUSD are you:**
- Buying Dollars/selling Euros
 - Buying Euros/selling Dollars
 - Buying Dollars/buying Euros
8. **When trading these products, can the losses exceed the balance on your account**
- Yes, but I could use stop loss orders to manage some of the risk
 - No, my losses are limited. This product is not traded on margin.

OPTIONS, FUTURES OR ETFS/ETCS/ETNS

9. **How many years have you traded these products on a non-advised basis?**
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- £0-5k
 - £5K – £20k
 - £20K +
12. **Futures are a leveraged product allowing you to buy/sell a particular instrument at a pre-determined price at a specified time in the future?**
- True
 - False

13. When you sell/write an option, your losses are limited?

- True
 False

14. When trading ETFs/ETNs/ETCs, can the losses exceed the balance on your account?

- Yes
 No

ADDITIONAL INFORMATION

Nationality: _____

National/Tax ID: _____

EXPRESS CONSENT FOR RECEIVING INFORMATION ELECTRONICALLY

As an online trading provider we deliver our services to you electronically, which is confirmed in our General Business Terms. We are required by regulation to obtain your express consent to provide you with information in an electronic, durable medium that is not paper (for example, by email).

- I hereby consent to receive information from SCML via email, PDF document or by any other durable medium that is not paper.
- I hereby consent to receive information not personally addressed to me via the websites that you provide me notice of.

If you do not consent to us providing information to you electronically, we will be unable to offer you an account. For the avoidance of doubt, by consenting to receiving information via electronic means, you remain entitled to provide us with specific requests for information via a reasonable alternative form of durable medium.

I Accept

DECLARATION (First Applicant)

I hereby declare that the information I have provided is true, accurate and correct to the best of knowledge and that I have not received and will not receive advice in regards to any of the above questions.

Name (please print): _____

Saxo account ID (if applicable): _____

Signature: _____

Date: _____

PRODUCT ASSESSMENT QUESTIONNAIRE

Application type	Who should complete this form
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 - Yes
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OPTIONS, FUTURES OR ETFS/ETCS/ETNS

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- £0-5k
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12. **Futures are a leveraged product allowing you to buy/sell a particular instrument at a pre-determined price at a specified time in the future?**
- True
 - False

13. When you sell/write an option, your losses are limited?

- True
 False

14. When trading ETFs/ETNs/ETCs, can the losses exceed the balance on your account?

- Yes
 No

ADDITIONAL INFORMATION

Nationality: _____

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If you do not consent to us providing information to you electronically, we will be unable to offer you an account. For the avoidance of doubt, by consenting to receiving information via electronic means, you remain entitled to provide us with specific requests for information via a reasonable alternative form of durable medium.

I Accept

DECLARATION (Second Applicant)

I hereby declare that the information I have provided is true, accurate and correct to the best of knowledge and that I have not received and will not receive advice in regards to any of the above questions.

Name (please print): _____

Saxo account ID (if applicable): _____

Signature: _____

Date: _____