

SAXO BANK

CORPORATE OWNERSHIP AND CONTROL STRUCTURE DISCLOSURE FORM FOR CORPORATE CLIENTS

In order to comply with (i) FATF-regulation, (ii) EU directive 2005/60/EC on Anti Money Laundering and (iii) the Danish act no. 806 dated 8 August 2009 on Measures on Prevention of Money Laundering and Financing of Terrorism, Saxo Bank is obliged to require sufficient information regarding the ownership and control structure of its corporate clients.

Please note that this information is confidential in accordance with the Danish Financial Services Act.

PART 1 | EXEMPTIONS

Before filling in the form, please note that the following types of corporate clients ("A" or "B") are exempted from submitting the information:

A	IF YOU ARE ONE OF THE BELOW TYPES OF INSTITUTIONS, PLEASE ONLY COMPLETE PART 2, PART 4 AND TICK THE BOX BELOW:	B	IF YOUR COMPANY IS LISTED ON A REGULATED MARKET, PLEASE ONLY COMPLETE PART 2, PART 4 AND TICK THE BOX BELOW:
<p>1. Banking institutions</p> <p>2. Mortgage credit institutions</p> <p>3. Stock broking companies</p> <p>4. Investment management companies</p> <p>5. Life-assurance companies or lateral pension funds</p> <p>6. Savings undertakings</p> <p>7. Electronic money institutions</p> <p>8. Insurance brokers, when they act in respect of life assurance or other investment-related insurance activities</p> <p>9. Foreign undertakings' branches in Denmark, carrying out activities under no. 1-8 above and 11 below</p> <p>10. Investment associations or special-purpose associations, collective investment schemes, restricted associations, innovation associations and hedge associations</p> <p>11. Undertakings and persons that commercially carry out activities involving currency exchange or transfer of money and other assets</p> <p>ONLY IF these corporate entities are licensed within one of the following countries:</p> <ul style="list-style-type: none">• EU (except Greece)• Norway• Iceland• Lichtenstein• USA• Canada• Japan• Switzerland• Australia• Singapore• Hong Kong• New Zealand• Argentina• Brazil• South Africa		<p>1.</p> <p>2.</p>	<p>Corporate entities that are listed on a regulated market within the EU, Norway, Iceland or Lichtenstein (The EC-Commissions list of regulated markets can be found in the following link: http://mifiddatabase.cesr.eu/Index.aspx?sectionlinks_id=23&language=0&pageName=REGULATED_MARKETS_Display&subsection_id=0&action=Go&ds=16&ms=7&ys=2010&mic_code=MIC%20Code&full_name=Full%20Name&cpage=1)</p> <p>For other countries encompassed markets must be members of World Federation of Exchanges (WFE). All members are listed in the following link: http://www.world-exchanges.org/member-exchanges/member-exchanges</p>

If the corporate client is covered by one of the exemptions listed above, **please tick the box** .

Please also supply documentation (license or other documentation) which evidences that the corporation qualify under Exemption (A) or (B) above, as applicable.

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If the Client/Partner does not fulfill exemption A or B, please proceed by filling in the below:

PART 2 | CORPORATE DETAILS:

Registered name of corporate entity:

Company Registration No:

Country of Company's registered address:

DEFINITION OF OWNERSHIP FOR CORPORATIONS AND FUNDS/TRUSTS:

CORPORATIONS

Please list the below types of owners for corporations:

- Individuals who ultimately own or control the corporation by direct or indirect ownership or control of more than 25% of the shares or voting rights in the corporation, except for corporations which ownership interests are traded on a regulated market (as described under Exemption (B)).
- Individuals who otherwise exercise control over the management of the corporation.

FUNDS/TRUSTS

Please list the below types of owners for funds/trusts:

- Individuals who according to the articles of the fund or otherwise are entitled to receive 25% or more of the distribution funds or other assets of a fund or a similar legal arrangement, assuming these persons are known.
- The group of persons in whose main interest the fund or similar legal arrangement has been set up or operates.
- Individuals who exercise control over 25% or more of the distribution funds or other assets of the fund or similar legal arrangement or entity.

PART 3 | OWNER DETAILS

Please enclose documentation about the ownership and control structure of the corporate entity by:

A | Providing each of the following documents in respect of the corporate entity:

- (i) Shareholders Register; verified by a certified external lawyer or accountant
- (ii) Most recent audited annual accounts
- (iii) Any shareholders agreements; verified by a certified external lawyer or accountant **(if no shareholder agreement exist, please tick the box)**
- (iv) Any pledge agreements; verified by a certified external lawyer or accountant **(if no pledge agreement exist, please tick the box)**

Copy of lawyer's or accountant's license is required.

B | Providing a document confirming the ownership and control structure originating

from or confirmed by a certified external lawyer or accountant licensed in the country where the corporation is incorporated (copy of lawyer's license is required), or by a notary public.

OR

Required information* about owners:

- Name.
- Contact Details: address, E-mail address and phone.
- Passport No. or other personal ID no. *(Danish owners must provide CPR-number).*
- Copy of proof of identity which includes photo (e.g. valid passport, drivers license, other official recognised ID-card, NATO passport, Passport receipt (blue card with picture)); and
- Copy of proof of residency (e.g. a copy of your national ID card, Tax card or Social security card (with CPR number) containing your permanent address or a bank statement or utility bill (e.g. gas, water or electricity) issued in your name and with your permanent address included. The bank statement or utility bill may not be more than 6 months old.

Saxo Bank may need further documentation to establish a clients identity and will revert if further documents are required to comply with national money laundering requirements.

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*** PLEASE FILL IN THE RELEVANT INFORMATION BELOW:**

1.

2.

3.

4.

5.

6.

7.

8.

If in need of additional space for filling in owner details please enclose additional documents with necessary information.

Any significant change in the owner structure must immediately be notified to Saxo Bank.

If there are no owners who qualify as individual, please tick the box .

PART 4 | SIGNATURES

Date and Place:

Authorised Signatory:

Authorised Signatory:

THE SPECIALIST IN TRADING AND INVESTMENT

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