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# PROFESSIONAL CLIENT ACCOUNT OPENING FORM

## CFI FINANCIAL MARKETS L.L.C

CFI Financial Markets L.L.C (the "CFI Financial") is a company incorporated with limited liability in and existing under the laws of the United Arab Emirates, under commercial registration number 1971503, licensed and regulated by the Securities and Commodities Authority of the United Arab Emirates ("SCA") to conduct brokerage trading of over-the-counter derivatives and currencies in the spot market, under license number 20200000154, having its principal place of business at Office no. 2102 BLVD PLAZA T1, Burj Khalifa area, United Arab Emirates.

Prior to filling in the account opening form, the below should be understood by the professional clients those that are company/corporate or HNI.

- This account opening application form is for opening professional client account (High Net worth Individual) or Company) only.
- This form will need to be signed by authorised representatives of your company. Before applying, please ensure you have read the below documents are read, understood and wherever applicable understood prior to trading with the below:
  - a) Risk Disclosure Document should be read. Part A must be signed.
  - b) Client Agreement terms and conditions.
  - c) Privacy Policy.
  - d) Order Execution Policy.
  - e) Conflicts of Interest Policy.

All the above are available on our website [www.cfifinancial.com](http://www.cfifinancial.com)

### BOARD RESOLUTION

If the client is a company or corporate, your board of directors must pass a resolution approving the company to apply for a trading account with CFI Financial. This includes authorising the signing of this account application form and confirming the authorised signatories to the trading account.

If HNI wants to trade, then a letter intent to trade with CFI Financial should be submitted.

### Supporting Documents

Along with your account application form you must submit the following documents: as applicable, company/corporate and HNI/Professional clients.

- a) Certified copy of the Certificate of Incorporation, Formation or Organization
- b) Certified copy of Memorandum of Association and Articles of Association
- c) Proof of registered address of the company (lease agreement/utility bill (must be less than 3 months old) in the name of the company.



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- d) Proof of trading address (if different to the above) of the company.
- e) Certified copy of Register of Members or Shareholders.
- f) Copy of the most recent bank statement (within the last 3 months) of the account that will be used for execution of the trades.
- g) Certified copy of Trade License (if applicable).

You may not need to provide all of the Supporting Documents listed above and your Sales contact at CFI Financial will provide you with the applicable list of Supporting Documents, if you fall under one of the following categories (please tick the relevant box):

a High net worth individual;

a regulated financial institution whose entire operations are subject to regulation and supervision, including AML regulation and supervision, in a jurisdiction with AML regulations which are equivalent to the standards set out in the FATF recommendations.

a subsidiary of a regulated financial institution if such subsidiary observes the same AML standards as the regulated financial institution;

## **IDENTIFICATION DOCUMENTS**

For the shareholders and beneficial owners with 25% or more ownership in the company: One of the items listed in each of Sections A and B below must be provided.

### **SECTION A (ANY ONE OF THE FOLLOWING)**

- a) Certified copy of a valid passport
- b) Certified copy of government Issued ID

**NOTE: A GOVERNMENT ID WILL ONLY BE ACCEPTED IN THE ABSENCE OF A PASSPORT AND MUST BE ACCOMPANIED BY THE FOLLOWING:**

- 1- an attestation that you do not hold a valid passport.
- 2- MUST be valid and not older than 10 years from the date of issue (unless it does not have an expiry).
- 3- MUST display the legal name, date of birth, nationality & registered ID number.

### **SECTION B (ANY ONE OF THE FOLLOWING)**

#### **UTILITY BILL**

MUST state the current residential address of the UBO as indicated on the account opening application form for the Company and for the HNI.



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MUST have been issued within the last 3 calendar months.

#### **BANK STATEMENT**

MUST state the current residential address of the UBO as indicated on the account opening application form.

MUST have been issued within the last 3 calendar months.

MUST be issued from a bank or financial institution with a certification for its authenticity.

Lease / Tenancy Agreement.

MUST state the current residential address as indicated on the account opening application form.

MUST be valid as on the date of the application for the trading account.

#### **CERTIFYING YOUR DOCUMENTS**

**For the copies of your documents to be considered certified, they must be signed as a true and complete copy by ONE of the following:**

- a) Ministry of Foreign Affairs or equivalent.
- b) Registered lawyer/legal consultant.
- c) Police officer.
- d) Registered Notary Public.
- e) Embassy or consulate.
- f) Registered Chartered accountant.

#### **FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) AND COMMON REPORTING STANDARDS (CRS)**

To comply with the Foreign Account Tax Compliance Act (FATCA) and Organization for Economic Co-operation and Development ("OECD"), CFI Financial is required to obtain a US tax certificate (W-8 series as appropriate) and a completed CRS Form from corporate clients. **Please refer to the following websites for more information or consult your tax advisor:**

**CRS:** <https://www.mof.gov.ae/en/StrategicPartnerships/Pages/CRS.aspx>

**FATCA:** <https://www.irs.gov/businesses/corporations/foreign-account-tax-compliance-act-fatca>

Please note that we are unable to consider your application until the above is received and in some cases, we may ask for further information or documentation.

Please return this application form along with its attachments to our Sales Team. If you have any questions, please reach out to your CFI Financial. Sales contact.



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## 1- ACCOUNT INFORMATION

Introduced By (for Introduced Accounts Only) \_\_\_\_\_

Managed By (for Managed Accounts Only) \_\_\_\_\_

If your account will be a managed account, you will need to submit the Limited Power of Attorney ("LPOA") authorising (persons name) to act on your behalf in relation to your trading account.

**ACCOUNT TYPE**      Standard                      Pro                      Elite

**Please indicate how often you would like to receive account statements.**

Monthly                      Quarterly                      Annually

## COMPANY DETAILS

Full Corporate Name (As in Certificate of Incorporation, Formation or Organization) (the "Company") \_\_\_\_\_

Country of Incorporation: \_\_\_\_\_

Corporate License No.: \_\_\_\_\_

Establishment date: \_\_\_\_\_

Trading Name (if different): \_\_\_\_\_

Nature of Business: \_\_\_\_\_

Telephone No.: \_\_\_\_\_

Business Email Address: \_\_\_\_\_

Registered Office Address: (P.O. Box No.) \_\_\_\_\_



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Business Trading Address: (If different from above) \_\_\_\_\_

Company Website: \_\_\_\_\_

Company tax residency: \_\_\_\_\_

TIN (if available): \_\_\_\_\_

**Is the Company regulated by any Financial Services Regulator?** YES NO

Name of Regulator: \_\_\_\_\_

Regulatory Number: \_\_\_\_\_

**Is the Company Listed on a Recognised Stock Exchange?** YES NO

Name of Exchange: \_\_\_\_\_

Type of Industry: \_\_\_\_\_

LEI No.: \_\_\_\_\_

GIIN (if applicable): \_\_\_\_\_

Primary Email (for delivery of electronic statements): \_\_\_\_\_

**Primary Contact Person (must be a shareholder/director or an authorised signatory)**

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

Email Address: \_\_\_\_\_

Contact Number: \_\_\_\_\_



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## 2. DIRECTOR DETAILS

Please list all directors of the Company (or equivalent). If necessary, provide an additional sheet.

### PERSON 1

Title:                      Ms                      Mrs.                      Mr.

Full Name: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

Residential Address: \_\_\_\_\_

TIN (if available): \_\_\_\_\_

### PERSON 2

Title:                      Ms                      Mrs.                      Mr.

Full Name: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

Residential Address: \_\_\_\_\_

TIN (if available): \_\_\_\_\_

### PERSON 3

Title:                      Ms                      Mrs.                      Mr.

Full Name: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

Residential Address: \_\_\_\_\_

TIN (if available): \_\_\_\_\_

### PERSON 4

Title:                      Ms                      Mrs.                      Mr.

Full Name: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

Residential Address: \_\_\_\_\_

TIN (if available): \_\_\_\_\_



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### 3. BENEFICIAL OWNER DETAILS, IF COMPANY

Please list all Beneficial Owners or Shareholders with 25% or more equity or voting rights. If necessary, please provide in an additional sheet.

#### A) CORPORATE OWNERS OR SHAREHOLDERS (LEGAL ENTITIES)

##### ENTITY 1

Legal Name: \_\_\_\_\_

Country of Incorporation: \_\_\_\_\_

Incorporation Date: Registered \_\_\_\_\_

Office Address: TIN (if available): \_\_\_\_\_

Holding (%): \_\_\_\_\_

##### ENTITY 2

Legal Name: \_\_\_\_\_

Country of Incorporation: \_\_\_\_\_

Incorporation Date: Registered \_\_\_\_\_

Office Address: TIN (if available): \_\_\_\_\_

Holding (%): \_\_\_\_\_

#### B) INDIVIDUAL BENEFICIAL OWNERS OR SHAREHOLDERS

##### PERSON 1

Title:                      Ms                      Mrs.                      Mr.

Full Name: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

Residential Address: \_\_\_\_\_

TIN (if available): \_\_\_\_\_

Holding (%): \_\_\_\_\_

##### PERSON 2

Title:                      Ms                      Mrs.                      Mr.

Full Name: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

Residential Address: \_\_\_\_\_

TIN (if available): \_\_\_\_\_

Holding (%): \_\_\_\_\_



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#### 4. ADDITIONAL AUTHORISED SIGNATORY SECTION FOR COMPANY

##### PERSON 1

Title:                      Ms                      Mrs.                      Mr.

Full Name: \_\_\_\_\_

Designation: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

Residential Address: \_\_\_\_\_

Corporate Email Address: \_\_\_\_\_

##### PERSON 2

Title:                      Ms                      Mrs.                      Mr.

Full Name: \_\_\_\_\_

Designation: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

Residential Address: \_\_\_\_\_

Corporate Email Address: \_\_\_\_\_

Trading Experience (Base your answers on the experience of the main controller of the account)

#### DO YOU HAVE TRADING EXPERIENCE IN THE FOLLOWING FINANCIAL PRODUCTS? (PLEASE TICK APPLICABLE BOXES)

FX                      CFDs                      Futures                      Shares

#### WHAT PRODUCT ARE YOU INTERESTED IN TRADING?

FX                      CFDs                      Futures                      Shares

#### EXPECTED TRADING VOLUME PER MONTH IN LOTS?

Less than 10 lots                      10-50 lots                      50-100 lots                      More than 50 lots

Do you have any current employment, professional experience or qualifications which would assist your understanding of CFD's and FX and the risk of trading leveraged products?

If Yes, please provide more details: \_\_\_\_\_





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## 5. FINANCIAL DETAILS

**What is the approximate size of the Company's liquid financial instrument portfolio?** (including cash deposits, investments but excluding any property) USD:

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**Has the Company ever been declared or subject to bankruptcy or insolvency proceedings?**

YES      NO      If so, please provide details: 

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**Has the Company or its shareholders or directors ever been subject to any criminal, regulatory or legal proceedings?**

YES      NO      If so, please provide details: 

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Annual Turnover USD: 

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Please provide details on the source of the Company's accumulated wealth.

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**Do you operate as broker or intermediary for any third party?**

YES      NO      If yes, please provide details: 

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Approximate amount to be funded over 12 months with CFI Financial: USD 

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Amount of initial deposit: USD Net 

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**ASSETS (USD):**

Under 500,000	500,001 – 2 mil	above 2 mil - 10 mil	above 10 mil - 20 mil	above 20 mil
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### **BANKING DETAILS (FOR ALL DEPOSITS AND WITHDRAWALS)**

Account Name: 

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Bank Name and Branch: 

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Sort Code / BIC: Bank 

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Account No.: SWIFT: 

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IBAN: 

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## 6. CONFIRMATION OF KNOWLEDGE AND UNDERSTANDING

You should not sign this account opening application form if you are unsure as to the nature of the risks involved in trading using the services provided by CFI Financial. Margined transactions carry a high level of risk to your capital and it is possible that you lose more than your initial investment.

### DECLARATION

I/We understand and accept that I/We give the declarations below on behalf of the Company and I/We confirm that I/We have proper authorisation to do so:

I/We have had the opportunity to seek independent financial advice and have chosen to proceed with this account opening application form with full awareness of the associated risks.

I/We confirm that the (Company or HNI) fully understands the nature and risks of margin trading. I/We understand that I/we can incur losses significantly greater than the amount ("margin") I/We are initially required to deposit to open a margined transaction and should this occur

I/We will be required to cover these losses and accept full liability for any such losses.

I/We confirm receipt by the Company or HNI of all relevant documents mentioned in this account opening application form and in particular the Risk Disclosure Document, the Client Agreement, Order Execution Policy, Conflicts of Interest Policy and Privacy Policy which were made available via the CFI Financial website: [www.cfifinancial.com](http://www.cfifinancial.com).

For the Company's benefit and protection, I/we and the Authorised Signatories have read and understood these documents. Furthermore, I/we hereby agree that the Company shall be bound by the terms of all these documents and that they form part of its contractual relationship with CFI Financial.

I/We hereby represent that, by signing below, the information provided on this account opening application form is true and accurate (and not misleading in any material respect). I/We confirm that I/we will notify CFI Financial immediately of any changes to the information I/we have provided including but not limited to any change in beneficial ownership within 30 days of such change coming into effect.

I/We hereby confirm that all documents submitted along with this account opening application form are genuine, true and valid. I/We agree to hold harmless, release and indemnify CFI Financial from any and all loss or liability arising from CFI Financial, its employees and authorised persons and its related group companies or affiliates placing reliance on this declaration made by us.

### SIGNATURES OF TWO AUTHORISED REPRESENTATIVES

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

Designation: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

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

Designation: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_



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## 7. CERTIFIED BOARD RESOLUTION

I/We certify that at a meeting of the directors of \_\_\_\_\_ ("Company") whose registered office is at \_\_\_\_\_ held on \_\_\_\_\_ the following resolutions were duly passed:

1. That an account(s) ("Account") be opened with CFI Financial Limited ("CFI Financial") for the purposes of trading margin instruments as offered by CFI Financial from time to time ("Instruments") according to the relevant terms and conditions of the Client Agreement;

2. That each of the persons whose names and specimen signatures appear in the attached Authorised Signatories list (each an "Authorised Signatory"), shall be and are hereby jointly and severally authorised:

- a. To sign any document in connection with the opening and operation of the Account, including the account opening application form;
- b. To authorise fees and commissions to be paid to CFI Financial or third party from the Account;
- c. To authorise deposits and withdrawals to be made in and from the Account;
- d. To receive requests and demands for additional margin, notices of intention to purchase or sell any Instrument and any other notices or demands of whatever character;
- e. To receive and confirm the correctness of notice, confirmations, requests, demands and confirmations of every kind;
- f. To place electronic and oral orders for Instruments with CFI Financial directly or through the system in the Account;
- g. To authorise and appoint traders, account Managers, or other persons or entities to place electronic and oral orders for Instruments with CFI Financial directly or through the system in the Account;
- h. To settle, compromise, adjust and give release on behalf of the Company with respect to any and all claims, disputes and complaints relating to the Account;
- i. To perform all terms and provisions of any and all agreements executed with CFI Financial and to take any action relating to any of the foregoing matters.

4. That these resolutions be communicated to CFI Financial and shall remain in force and that CFI Financial shall be entitled to rely on the same until an amending resolution shall be passed and a copy certified by a Director of the Company shall have been received by the Company.

5. We further certify that the Company has the power under its governing instruments and applicable law to take any action authorised herein and contemplated by the foregoing resolutions. We agree to hold harmless, release and indemnify CFI Financial from any and all loss or liability arising from CFI Financial, and its related group companies or affiliates and each of their its shareholders, directors, employees from placing reliance on this declaration made by us and the company acknowledges that the actions of the authorized signatories are binding upon the company.



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

Designation: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

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

Designation: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

#### **AUTHORISED SIGNATORIES LIST**

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

Designation: \_\_\_\_\_

Specimen Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Sole Signature: \_\_\_\_\_ Joint Signature: \_\_\_\_\_

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

Designation: \_\_\_\_\_

Specimen Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Sole Signature: \_\_\_\_\_ Joint Signature: \_\_\_\_\_

**November, 2023**