

# Company/Partnership/Trust Application Form



## IMPORTANT

Please understand the risk involved before you open a CFD account.

You are being introduced to CMC Markets UK Plc by Pretium Commodities which is a trading name of Pretium Securities. Your CFD account will be provided by CMC Markets UK Plc, who are authorised and regulated by the Financial Services Authority. All dealing, administration and settlement in relation to these services is undertaken by CMC Markets UK Plc. You and CMC Markets UK Plc, not Pretium Securities, will be counterparties to each transaction.

Please complete this application form in full. Each complete application must be accompanied by the documents listed in the box below.

Please post all documents to:

Pretium Commodities Beaufort House 15 St. Botolph Street London EC3A 7DT

If you have any questions, please call us on +44 (0) 207 613 8383. All Information given will be treated in the strictest of confidence.

PLEASE NOTE: This service is NOT available to US residents. CMC Markets UK Plc is authorised and regulated by the Financial Services Authority, registration no. 173730.

**CMC MARKETS UK PLC WILL ONLY CONDUCT BUSINESS WITH A CUSTOMER FOR WHOM IT CONSIDERS SUCH BUSINESS TO BE APPROPRIATE AND IN ASSESSING APPROPRIATENESS, WILL RELY ON THE INFORMATION PROVIDED BY THE CUSTOMER IN HIS/HER APPLICATION FORM. FOR THIS REASON, IT IS ESSENTIAL THAT YOU IMMEDIATELY ADVISE US IN WRITING (FAX OR E-MAIL TRANSMISSION IS ACCEPTABLE) IF THERE IS SUBSEQUENTLY ANY ADVERSE CHANGE IN THE INFORMATION WHICH YOU HAVE PROVIDED.**

## This application form and accompanying documents

- 1A. This Application for a Company/Partnership/Trust must be completed where applicable and signed on page 7 by all those authorised to enter into an agreement with CMC e.g. director(s) partner(s), trustee(s) (if there is insufficient space on the Application, please provide the information on separate pages and attach them to the Application).
- 1B. Provide details of all directors, shareholders, partners and/or trustees of the Customer (refer to pages 3 to 4 of this Application).
- 1C. Provide details of all authorised persons (refer to page 6 of this Application).
2. Original Evidence or certified copy of company's incorporation/ registration (e.g. certificate of incorporation).
3. Memorandum and Articles of Association, constitution, trust deed, partnership agreement or comparable documents, including all amending documents.

**For companies incorporated in the EU photocopies of these documents will suffice.**

**For companies incorporated outside the EU photocopies should be certified as a "true copy of the original" by a lawyer public notary, embassy or consulate, and officially stamped.**

4. Proof of identity and address for 2 director(s), partner(s) and/or each individual trustee and each majority shareholder.

**For EU residents we accept a photocopy of the individuals passport, driving license or national identity card in addition to a copy of a utility bill or bank statement, from within the last 6 months, showing the individual's address.**

**For non EU residents, these documents should be certified as a "true copy of the original" by a lawyer public notary, embassy or consulate, and officially stamped.**

**WARNING: YOUR ACCOUNT WILL NOT BE OPENED UNLESS WE RECEIVE ALL OF THE ABOVE DOCUMENTS COMPLETED IN FULL AND SIGNED.**

### Important Notice

CMC's Terms of Business, Execution Policy and Risk Warning Notice should be read in their entirety. Before applying, you must in conjunction with your advisers, give consideration to your objectives, financial situation and needs and the significant risks of loss which accompany the prospects of profit associated with dealing in CMC products and form the opinion that dealing in CMC products is suitable for your purposes.

### CMC's Privacy Policy

All information given will be treated in accordance with CMC's privacy policy which can be found on CMC's website.

Please complete ALL sections of this form. CMC Markets UK Plc (CMC) requires the following information to process your application in accordance with the applicable rules.

When completed, this application will form part of your Agreement with CMC. Please print or type, and tick  where applicable

**I GENERAL INFORMATION**

- 1. Name of Company/Partnership/Trust:
  
  
  
  
  
  
  
  
  
  
- 2. Principle type of business:
  
  
  
  
  
  
  
  
  
  
- 3. Registered address:
  
  
  
  
  
  
  
  
  
  
- 4. Principal place of business: (if different)

**II CONTACT DETAILS**

- 1. Email Address:
  
  
  
  
  
  
  
  
  
  
- 2. Telephone No:
  
  
  
  
  
  
  
  
  
  
- 3. Mobile No:
  
  
  
  
  
  
  
  
  
  
- 4. Facsimile No:

**III**

Complete A, B or C as appropriate:  
(Section A must be completed where the partner of a Partnership or a trustee of a Trust is a company. Where there is more than one company acting as partner or trustee, please provide the information required by Section A on a separate page for each additional company.)

**A. COMPANY INFORMATION**

- (i) Country of Incorporation:
  
  
  
  
  
  
  
  
  
  
- (ii) Date of Incorporation:
  
  
  
  
  
  
  
  
  
  
- (iii) Company Registration No:
  
  
  
  
  
  
  
  
  
  
- (iv) Ownership: Public  Private
  
  
  
  
  
  
  
  
  
  
- (v) Number of shareholders: 1-20  More than 20

Name and percentage shareholding of each shareholder:  
(If there are more than 5 shareholders please provide the information required on a separate page for each additional shareholder.)

Name % Holding

(vi) Name of controlling individual/entity:

Name and address of each director:  
(Proof of identity must be provided for 2 directors. Refer to Item 4 on page 2.)

Name:

Address:

Name:

Address:

Name:

Address:

Name:

Address:

(vii) Name and address of each secretary:

Name:

Address:

Name:

Address:

## B. PARTNERSHIP INFORMATION

Name and address of each partner:  
(Proof of identity must be provided for 2 partners. Refer to Item 4 on page 2. Where a company is a partner, Section A must be completed for that partner.)

Name:

Address:

Name:

Address:

Name:

Address:

Name:

Address:

(Please attach a copy of the Partnership Agreement and any amendments to the Agreement. Refer to Item 3 on page 2.)

## C. TRUST INFORMATION

Name and address of each trustee.  
(Proof of identity must be provided for each individual trustee. Refer to Item 4 on page 2. Where a company is a trustee, Section A must be completed for that trustee.)

Name:

Address:

Name:

Address:

Name:

Address:

Name:

Address:

(Please attach a copy of the Trust Deed and any amendments to the Trust Deed. Refer to Item 3 on page 2.)

**The directors, partners and/or trustees of the Customer by signing on page 7 of this Application warrant that the Customer's governing documents permit it to deal in futures, options, contracts for difference and foreign exchange and undertake other transactions with CMC. If you are unsure whether the Customer's governing documents permit it to do so, you should obtain legal advice.**

## IV INVESTMENT SERVICES

1. Is Foreign Exchange trading your principal business?

Yes  No

If no, please complete the following:

2. Is Contracts for Difference trading or Financial Spread Betting your principal business?

Yes  No

3. Will the account be used for hedging as part of your main business?

Yes  No

## V ADDITIONAL INFORMATION

Address to which statements, notices and other correspondence should be sent:

For the attention of:

Email Address:

Telephone No:

Facsimile No:

## VI GENERAL DISCLOSURE

1. Do you have a pending litigation, disputed accounts or other unresolved matters with other share, futures or foreign exchange brokers?

Yes  No

If yes, please briefly describe

2. Does this account or parties to this account control or have financial interest in the trading of any other accounts within this firm?

Yes  No

If yes, name and number of other accounts

3. Do any persons guarantee the account?

Yes  No

If yes, please give details

4. Are you or have you been within the past three years a member of any stock or futures exchange or licensed as a securities dealer, investment adviser, futures broker or adviser?

Yes  No

If yes, please give brief description

5. Have you ever been subject to bankruptcy/insolvency proceedings?

Yes  No

If yes, please give details

## VII PREVIOUS TRADING EXPERIENCE

To be completed and signed by the most experienced Director/Partner/Trustee, or of those authorised to make investment decisions on behalf of the company:

1. Do you understand the nature of margined transactions?

Yes  No

2. Do you understand the risks involved in margined transactions?

Yes  No

3. Have you traded any instruments in the last 12 months?

Yes  No

4. IF YES, how many times have you traded each of the products listed in the last 12 months? And what was your average deal size?

	No. of Trades	Average Deal Size <small>(please specify currency e.g. £, \$, € etc)</small>
Shares	_____	_____
Spread Betting / CFDs:	_____	_____
Foreign Exchange:	_____	_____
Commodities / Treasuries:	_____	_____
Financial Futures:	_____	_____
Options:	_____	_____

5. Which Companies have you dealt with? And was it on an EXECUTION ONLY basis?

	Company Name	Execution Only	
Shares	_____	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Spread Betting / CFDs:	_____	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Foreign Exchange:	_____	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Commodities / Treasuries:	_____	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Financial Futures:	_____	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Options:	_____	Yes <input type="checkbox"/>	No <input type="checkbox"/>

## KNOWLEDGE AND EXPERIENCE

1. Have you ever attended a seminar or course on CFDs and/or Spread Betting?

Yes  No

IF YES, please provide details of who the seminar or course was run by

2. CMC Markets have provided information on the website on how CFDs and Spread Betting works, the risks involved and trading examples. Have you read this information carefully and understood it?

Yes  No

3. Do you have a numerate based university degree? (for example: economics, mathematics, physics, engineering, accounting)

Yes  No

IF YES, please provide details

4. Do you have a relevant professional qualification that you consider would assist your understanding of Spread Betting/CFDs or leveraged products in general? (for example: accountancy, legal or Securities and Investment Institute qualifications.)

Yes  No

IF YES, please provide details

Please select a reporting currency for your account  
i.e £ GBP,

Where did you hear of CMC Markets UK Plc?

Signature \_\_\_\_\_

## VIII AUTHORISED PERSONS

By signing on page 7, the Customer certifies to CMC that the persons whose names appear below are authorised to:

- place orders with, and give oral, written or electronic instructions to, CMC;
- act on behalf of the Customer for all purposes in connection with the account(s) established with CMC; and
- sign on behalf of Customer notices, certificates and other documents required by or contemplated under all agreements in respect of the account(s),
- in addition to certifying that the true signature of each authorised person is shown below, underneath his or her name, and that CMC may rely on this certificate until such time as it receives another certificate bearing a later date.

Signature:

Print Name:

Title:

Email Address:

Telephone No:

Mobile No:

Facsimile No:

Signature:

Print Name:

Title:

Email Address:

Telephone No:

Mobile No:

Facsimile No:

Signature:

Print Name:

Title:

Email Address:

Telephone No:

Mobile No:

Facsimile No:

## IX ACCURACY OF INFORMATION

By signing on this page the Customer represents and warrants to CMC that the information contained in this Application is true and accurate and it will promptly notify CMC in writing if any of the information contained in this Application materially changes or ceases to be true and correct.

By signing below:

### 1. Resolutions

I/We and the Customer certify that at a meeting of the directors/partners/trustee of:

\_\_\_\_\_ (the Customer)

held on \_\_\_\_\_ at which a quorum was present.

It was resolved:

- to establish and maintain one or more accounts with CMC for the purposes of dealing in futures, options, contracts for difference, foreign exchange and other services.
- to execute, deliver and perform all agreements in respect of the account(s) and any other documents to be delivered in connection with such agreements and account(s).
- to authorise the persons named in the Certificate of Authorised Persons in section VIII to act on the Customer's behalf for all purposes in connection with the account(s).
- to take all action necessary to give full effect to this resolution.

### 2. Further Warranties

I/We and the Customer further represent and warrant to CMC that:

- the above resolutions and the dealing in futures, options, contracts for difference and foreign exchange (or other transactions to be undertaken by CMC on the Customer's behalf) are authorised by the Customer's governing documents and that no limitation has been imposed on this authority.
- we are authorised to make these resolutions on behalf of the Customer.
- each of the officers who signs below has been duly elected or appointed and holds the position adjacent to their name.

### 3. Accuracy of Information

I/We and the Customer represent and warrant to CMC that:

- the information contained in this Application is true and accurate and it will promptly notify CMC in writing if any of the information contained in this Application materially changes or ceases to be true and correct.
- the details provided to CMC during the application process are complete and accurate, and fulfil the warranties as described in section 14 of the Terms of Business.

### 4. Authorised Persons

I/We and the Customer make the statements and declarations on page 6 (Authorised Persons) and this page.

### 5. CMC Terms & Conditions

- I/We and the Customer agree that CMC will provide its services to the Customer on the terms and conditions of the CMC Terms of Business, **(CMC Agreement)**, as amended from time to time.
- I/We and the Customer declare to CMC that we have read and understood the documents comprising the CMC Agreement including "Information about our Execution Policy".

**6. Risks**

I/We and the Customer acknowledge and declare to CMC that:

- have read and understood the Risk Warning Notice.
- have given consideration to the Customer's objectives, financial situation and needs and the significant risks of loss which accompany the prospects of profit associated with dealing in CMC products and have formed the opinion that dealing in CMC products is suitable for the Customer's purposes.
- were advised by CMC to obtain independent legal and financial advice concerning the CMC Agreement.
- obtained appropriate and sufficient advice concerning the terms of the CMC Agreement.

**7. Privacy Policy**

I/We and the Customer consent to CMC Markets UK Plc collecting, maintaining, using and disclosing personal information about us and provided by us or by another person.

**8. Electronic Application Form**

If this is an Application Form that I/we and the Customer downloaded or received electronically, I/we and the Customer acknowledge and declare to CMC that either, I/we downloaded and read the electronic versions of the documents comprising the CMC Agreement or received personally and read the paper copies of those documents.

To be signed by authorised individuals e.g director(s)/partner(s)/trustee(s):

Signature:

Print Name:

Title:

Date:

Signature:

Print Name:

Title:

Date:

Signature:

Print Name:

Title:

Date:

Signature:

Print Name:

Title:

Date:

