

IMPORTANT INFORMATION

INTL FCSTONE PTE LTD (“IFPL”) holds a Capital Markets Services license with the Monetary Authority of Singapore (“MAS”) and are obliged to carry out due diligence and tax residency status in order to comply with the various MAS regulatory instruments, “Singapore Income Tax Act (Chapter 134)” and related regulations including “Income Tax (International Tax Compliance Agreements) (United States of America) Regulations 2015 (Foreign Account Tax Compliance Act) (FATCA)” and “Income Tax (International Tax Compliance Agreements) (Common Reporting Standard) Regulation 2016 (CRS)” on all prospective Customers prior to our business engagement. IFPL undertakes to maintain all information strictly confidential in accordance with our Data Privacy Notice; unless otherwise required to be disclosed by Law or as is necessary in the provision of trading of products and services.

SECTION 1A: BACKGROUND INFORMATION ON FINANCIAL INSTITUTION

Registered Financial Institution (“FI”) Name		Business Registration No. <i>(where applicable)</i>
Name of FI’s Regulator		FI’s Regulated Licence No.
Type of Business <input type="checkbox"/> Private Company <input type="checkbox"/> Public Company <input type="checkbox"/> Others <i>(Please specify)</i> _____		
Registered Address of FI	Address of principal place of business of FI <i>(if different from Registered Address)</i>	Mailing Address of FI <i>(if different from Registered and Principal Place of FI Addresses)</i>
Country of Incorporation/Formation of FI		Date of Incorporation/Formation
Office Number		Fax Number
Email for general correspondence		FI’s Website
Email for receipt of trading statements only		
Public-listed or owned? <input type="checkbox"/> Yes <input type="checkbox"/> No		
If yes, which exchange(s)? _____		
Please provide a brief description of the nature of the FI’s business activities		
Indicate the countries where the FI currently engages in its regulated activities		

SECTION 1B: DETAILS OF THE AUTHORISED SIGNATORY COMPLETING THIS CUSTOMER APPLICATION FORM

Full Name of Authorised Signatory <i>(as in National ID including Aliases)</i>		Date of Birth
Nationality	Identity Document (“ID”) Type <i>(National ID, Passport etc.)</i>	Identity Number
Residential Address		
Office Number		Personal Contact Number
Email		Job Title

SECTION 2: BUSINESS ENGAGEMENT MODEL

1. For Intermediaries

1a. Are you currently engaged as a regulated intermediary offering dealing services to your customers?

Yes No

1b. Will you be operating an omnibus account under your name to facilitate your customers' trades execution?

Yes No

1c. Will you be operating any other account(s) on behalf of your customers who will be permitted to transact directly through these account(s) with IFPL?

Yes No

1d. Will you also be operating a house account to manage your proprietary funds?

Yes No

2. For Fund Managers

2a. Are you currently engaged as a regulated fund manager offering discretionary portfolio management services to your customers?

Yes No

2b. Will you be operating an omnibus account under your name to execute trades on behalf of your customers?

Yes No

2c. Will you require multiple accounts under your omnibus account to execute trades on behalf of your customers?

Yes. How many? _____ No

2d. Will you be operating individual accounts held under individual collective investment schemes which are managed by you?

Yes No

If yes, please ensure that each collective investment scheme completes the Business Entity Customer Due Diligence.

2e. Will you also be operating a house account to manage your proprietary funds?

Yes No

SECTION 3: OWNERSHIP & CONTROLLING PERSONS OF FINANCIAL INSTITUTION

Please complete and tick accordingly:

No.	Details			Shareholder ¹	Directors ²		Partner	UBO ³
					Executive	Non-executive		
1.	Name		Date of Birth	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Name		Date of Birth	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Name		Date of Birth	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	Name		Date of Birth	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	Name		Date of Birth	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	Name		Date of Birth	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	Name		Date of Birth	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

No.	Details			Shareholder ¹	Directors ²		Partner	UBO ³
					Executive	Non-executive		
8.	Name		Date of Birth	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.	Name		Date of Birth	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10.	Name		Date of Birth	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

¹ – Shareholder ⇨ only voting members holding in excess of 25% effective interest of the FI.

² – Director ⇨ including Independent Director or Non-Executive Director of the FI.

³ – Ultimate Beneficial Owner (“UBO”) ⇨ should be an Individual who ultimately owns 25% of the FI unless the UBO is the Government or a Business Entity where no single owner owns more than 25% effective interest. Exclude controlling persons of intermediate holding companies.

SECTION 4A: CONFLICTS OF INTEREST – POLITICALLY EXPOSED PERSONS

The following are the explanations of “politically exposed persons”:

“close associate” means a natural person who is closely connected to a politically exposed person, either socially or professionally;

“family member” means a parent, step-parent, child, step-child, adopted child, spouse, sibling, step-sibling and adopted sibling of the politically exposed person;

“politically exposed person” means a domestic politically exposed person, foreign politically exposed person or international organisation politically exposed person;

“domestic politically exposed person” means a natural person who is or has been entrusted domestically with prominent public functions*;

“foreign politically exposed person” means a natural person who is or has been entrusted with prominent public functions in a foreign country;

“international organisation” means an FI established by formal political agreements between member countries that have the status of international treaties, whose existence is recognised by law in member countries and which is not treated as a resident institutional unit of the country in which it is located;

“international organisation politically exposed person” means a natural person who is or has been entrusted with prominent public functions in an international organisation;

“prominent public functions” includes the roles held by a head of state, a head of government, government ministers, senior civil or public servants, senior judicial or military officials, senior executives of state owned entities, senior political party officials, members of the legislature and senior management of international organisations.

* “prominent public functions” includes the roles held by a head of state, a head of government, government ministers, senior civil or public servants, senior judicial or military officials, senior executives of state owned corporations, senior political party officials, members of the legislature and senior management of international organisations.

1. Is the FI an “international organization” as detailed above?

No Yes

2. Are any of those listed in Section 3 a “politically exposed person” (“PEP”) or a “family member” of a PEP or a “close associate” of a PEP?

No Yes (provide disclosure below)

Name of PEP	Relationship to PEP	Role/Occupation of PEP	Name of PEP’s Organization (including locality)

SECTION 4B: CONFLICTS OF INTEREST – RELATIONSHIP WITH STAFF OF IFPL

Are any of those listed in Section 3 related to any staff in IFPL?

No Yes (provide disclosure below)

Name of Staff	Designation and Department	Relationship

SECTION 5: DESCRIPTION OF FINANCIAL INSTITUTION'S REGULATED BUSINESS ACTIVITIES

1. Please indicate the primary regulated business activities of the FI:

- Personal Banking Corporate Banking Trade Finance Private Banking/Wealth Management
 Correspondent Banking Fund Management Financial Advisory Capital Markets Intermediary
 Insurance Trusts Companies Others (please specify): _____

2. Does the FI or its various entities have branches or subsidiaries located in countries against which the US and/or European Union and/or United Nations have enacted economic sanctions/embargoes? If yes, please indicate countries below.

S/N	Name of Identified Entity	Name of US, Euro or UN Sanctioned/Trade Embargoed Country
1.		
2.		
3.		

3. Please provide a breakdown of the FI's customers by geographical residency:

S/N	Customer's Geographical Residency	% of Overall Business (Total should add to 100%)
1.		
2.		
3.		

4. Please provide a breakdown of the FI's customers' wealth profile:

S/N	Customer Wealth Profile	% of Overall Business (Total should add to 100%)
1.	Retail Customers (investing less than SGD 200K)	
2.	Mezzanine Customers (investing more than SGD 200K)	
3.	High Net Worth Customers (investing more than SGD 1 million)	
4.	Corporate Customers	
5.	Complex Structures (Trusts, Foundations, Family Offices etc.)	
6.	Politically Exposed Persons (including their connected persons)	
7.	Others	

5. Please provide a breakdown of the FI's customers' funding methods:

S/N	Customer Funding	% of Overall Business (Total should add to 100%)
1.	Cash Funding	
2.	Domestic Bank Cheques	
3.	Local Bank Sponsored Credit Cards	
4.	Local Bank Transfers	
5.	International Bank Transfer	
6.	Other Foreign Credit Cards	
7.	Others	

6. Please provide a breakdown of the FI's business engagement approaches:

A. Customer Engagement

S/N	Customer Engagement Process	% of Overall Business (Total should add to 100%)
1.	Face-to-Face with Know Your Customer ("KYC") Fact Finding	
2.	Non-Face-to-Face KYC Fact Finding through the Internet	

B. Distribution

S/N	Distribution Channels	% of Overall Business (Total should add to 100%)
1.	Direct to end customers	
2.	Through Domestic FIs under an Omnibus Account	
3.	Through Foreign FIs under an Omnibus Account	
4.	Reliance on Non-FI Third Parties (e.g. Introducers)	
5.	Direct Anonymous or Numbered Accounts	
6.	Others (if more than 20%, please specify)	

7. Does the FI provide services to customers in the following industries/sectors:

S/N	Industries/Sectors	Yes (indicate % of total customers of the FI)	No
1.	Casinos	<input type="checkbox"/> _____	<input type="checkbox"/>
2.	Cash Intensive Business	<input type="checkbox"/> _____	<input type="checkbox"/>
3.	Internet Banking	<input type="checkbox"/> _____	<input type="checkbox"/>
4.	Foreign Government Entities	<input type="checkbox"/> _____	<input type="checkbox"/>
5.	Politically Exposed Persons (as defined in Section 3B above)	<input type="checkbox"/> _____	<input type="checkbox"/>
6.	Money Service Businesses	<input type="checkbox"/> _____	<input type="checkbox"/>
7.	Shell Banks	<input type="checkbox"/> _____	<input type="checkbox"/>
8.	Other Person/Entities in FATF High Risk Jurisdictions	<input type="checkbox"/> _____	<input type="checkbox"/>

SECTION 6: FINANCIAL INSTITUTION AML RISK ASSESSMENT

Please complete the Wolfsberg Group Financial Crime Compliance Questionnaire (FCCQ).

SECTION 7: TAX RESIDENCY DECLARATION

1. Is the FI **solely** a tax resident of Singapore?

- Yes (no further tax information required) No (proceed to question 2)

2. If not solely a tax resident of Singapore, is the FI a US tax resident*?

*You may wish to refer to the US IRS website to confirm your tax residency status (<https://www.irs.gov/individuals/international-taxpayers/alien-taxation-certain-essential-concepts>). If in doubt, please consult your tax adviser independently.

- Yes (complete the details on FATCA Self Certification Form and proceed to question 3); OR
- I Yes, the F was a US Person but it confirms it is no longer a US Person. (complete the details on FATCA Self Certification Form and proceed to question 3)
- No (proceed to question 3)

3. Is the FI a tax resident in multiple jurisdictions including Singapore but not a US tax resident?

- Yes (complete the details on CRS Self Certification Form)
- No (proceed to question 4)

4. If the FI is not tax resident in its place of business, please provide reasons below:

SECTION 8: DETAILS OF INVESTING FINANCIAL INSTITUTION/ACCOUNT[^]

Please disclose from where the source of funds to be committed to IFPL's services will be remitted:

Name of Remitting Account / Currency	/
Name of Remitting Bank*	
Account Number of Remitting Bank	
SWIFT or IBAN Code of Remitting Bank	
Account Number of Intermediary Bank	
SWIFT or IBAN Code of Intermediary Bank	

* Complete the Standard Settlement Instruction ("SSI") if you intend to fund your trading account from more than one bank account. [^]

[^]Please provide a copy of the recent bank statement(s) for the bank account(s) being used to fund the trading account.

SECTION 9: PROVISION OF SUPPORTING DOCUMENTS

For the opening or maintenance of an account by IFPL in the name of the customer for the purposes of engaging in business relations; IFPL is required to collect and verify information relating to our customers. Please provide us the following information and tick where appropriate to confirm the relevant documents have been provided with this Financial Institution – Customer Application Form:

CHECKLISTS OF DOCUMENTS REQUIRED

A. FI Documents

(i) Formation Documents

(a) Regulatory Licence of FI (*mandatory*); **AND**

(b) Certificate of Incorporation of FI; **OR**

(c) Others (*please specify*) _____

(ii) Constitutional Document

(a) Memorandum & Articles of Association of FI; **OR**

(b) Others (*please specify*) _____

(iii) Financial Report

(a) Latest Audited Financial Statements; **AND**

(b) Latest bank statement(s) – to verify origin of funds/ SSI account(s); **AND**

(c) FATCA Form (*where applicable*); **AND**

(d) CRS Form (*where applicable*)

(iv) Independent Verification

(a) Official independent business registry for registered businesses; **AND**

(b) Certificate of good standing for offshore companies, special purpose vehicles, etc.; **OR**

(c) Others (*please specify*) _____

(v) Ownership

(a) Ownership Chart (*mandatory*); **AND**

(b) Independent Business Registries as per (iv)(a) for **ALL** intermediate and ultimate holding companies

(vi) Authorization

(a) Please complete "Extract of Board Resolution" (*in IFPL format*) appointing Authorised Signatories, Authorised Representatives and Authorised Traders

B. Relevant Individual Documents

- (i) Ultimate Beneficial Owners (Individuals) owning more than 25% effective interest in the Entity
- (ii) Controlling Persons (Executive Directors only)
- (iii) Authorised Signatories (Persons authorised to sign agreements on behalf of the Entity)
- (iv) Authorised Traders (Persons authorised to execute trades on behalf of the Entity)
- (v) Authorised Representatives (Persons authorised to communicate and engage with IFPL on behalf of the Entity)

For all the Relevant Individuals above, the documents indicated below must be provided.

- (a) Government issued Identity Document containing ALL the following items:
- Full Name, (including any aliases)
 - National Identification Number
 - Residential Address
 - Date of Birth
 - Nationality
 - Photograph

OR

- (b) Passport & One Address Identifier[#]; **OR**
- (c) Driver's License & One Address Identifier[#]; **OR**
- (d) Other Government issued ID & One Address Identifier[#].

Address Identifier includes any one of the following: (i) Utility Bill, (ii) Bank Statement, (iii) Tax Assessment, (iv) CPF/Pension Statement or (v) Any Official Government-related correspondence.

P.O. box address should only be used for jurisdictions where the residential address (e.g. street name or house number) is not applicable or available in the local context.

Where the above documents are not sighted in-person by IFPL staff, they need to be certified by Authorised Signatory(s) or Directors or Lawyers or Notaries unless identity verification has been conducted based on any of the approved "Non-Face-to-Face" ("NFTF") measures. These measures include the provision of 2 or more of the above ID documents or other verification procedures.

FOREIGN ACCOUNT TAX COMPLIANCE ACT ("FATCA") SELF-CERTIFICATION

Foreign Account Tax Compliance Act ("FATCA") is an international standard to gather and exchange financial account information related primarily to US taxpayers. Under FATCA, IFPL needs to carry out reviewing procedures and disclose financial account information of account holders who are US Persons to the Inland Revenue Authority of Singapore ("IRAS").

SECTION A: ENTITIES WITH U.S. TIN (If Entity is US incorporated with a US Taxpayer Identification Number)

Is the Entity incorporated, established constituted or organized in the U.S.?

Yes

- Please provide the **9 digit** Entity US Taxpayer Identification Number ("TIN"): _____
- Is the Entity a Specified U.S. Person? Yes No (form is completed)

No (complete the rest of this form)

SECTION B: CLASSIFICATION

Entity's Non-US TIN: _____ Country of TIN: _____

Please tick one of the following statements that best describes the Entity.

Active Non-Financial Foreign Entity¹

Exempt Beneficial Owner²

Passive Non-Financial Foreign Entity ("NFFE")³ (proceed to Section C)

Others – The entity does not fall under any of the above statuses. Please provide a U.S. IRS Form W-8BEN-E/W-8IMY/W-8ECI/W-8EXP.

Notes:

1. The entity is not a Financial Institution, **AND**

- Its stock is regularly traded on one or more established securities markets; **OR**
- The entity is a Related Entity of an entity the stock of which is regularly traded on an established securities market; **OR**
- The entity derive less than 50% of its gross income from Passive Income in the previous year and less than 50% of its assets were used to produce Passive Income in the previous year; **OR**
- Charities registered under the Singapore Charities Act; **OR**
- Substantially all its business activities consist of
 - holding (wholly or partially) the outstanding share of, **OR**
 - providing financing and services to, one or more subsidiaries that engage in non-FI trade/business. However, the entity does not operate as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.

2. The entity is any of the following:

- Government and government-linked entities (including Singapore Ministries, Statutory Boards, Town Councils)
- International Organisations
- Central Bank
- Qualifying Funds
- Investment Entity wholly owned by exempt beneficial owners.

3. The entity does not fall within the definition of a Financial Institution, Active NFFE or Exempt Beneficial Owner.

SECTION C: U.S. CONTROLLING PERSONS OF PASSIVE NFFE

Please tick one of the following statements if your FATCA Classification is Passive NFFE

- None** of the Controlling Persons (whose percentage of ownership is 25% or greater) of the Company is/are U.S. Person(s)
- One or more** of the Controlling Persons (whose percentage of ownership is 25% or greater) of the Company is/are U.S. Persons) details of whom are listed below.

	U.S. Controlling Person 1	U.S. Controlling Person 2	U.S. Controlling Person 3
Name (<i>as in Passport/ID</i>)			
Passport/ID No.			
Passport/ID Country			
U.S. TIN (<i>9 digits</i>)			
% of Ownership			
Address			
Country of Address			

	U.S. Controlling Person 1	U.S. Controlling Person 2	U.S. Controlling Person 3
Authorised Signature			
Date (<i>DD/MMM/YYYY</i>)			
Registered Entity Name			

COMMON REPORTING STANDARD ("CRS") SELF-CERTIFICATION

The Common Reporting Standards (CRS) is an internationally agreed standard for automatic exchange of financial account information in tax matters, endorsed by the Organisation for Economic Co-operation and Development (OECD). <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/>. The objectives of CRS are to ensure transparency of tax obligations for all persons and to facilitate notification to the relevant tax authorities.

Under the CRS, IFPL is required to identify their account holders who are tax residents of other reportable jurisdictions. Relevant account information of these account holders would be reported to the local tax authorities, who would in turn exchange the information with the tax authorities of the participating jurisdictions where the account holders are tax residents.

SECTION A: TAX RESIDENCY OF THE ENTITY ACCOUNTHOLDER

The Entity is currently a tax resident in the following list of countries/jurisdictions (include Singapore, if applicable):

No.	Country(s)/ Jurisdiction(s) of tax residence	TIN	If TIN is unavailable, tick Reason* A, B or C	If Reason B has been selected, please indicate why TIN is not available
1.			A B C	
2.			A B C	
3.			A B C	
4.			A B C	
5.			A B C	

*Reason:

A – The Entity is resident of a country/jurisdiction which does not issue TINs to its residents.

B – The Entity is otherwise unable to obtain a TIN or equivalent number. (Please explain why the Entity is unable to obtain a TIN if this reason is selected.)

C – TIN is not required. (Note: To be selected only if the law of the country of tax residence stated above does not require the TIN to be collected.)

If the Entity is not tax resident in any country/jurisdiction (e.g. because it is fiscally transparent), please provide its place of effective management or jurisdiction in which its principal office is located: _____

SECTION B: CLASSIFICATION OF ENTITY ACCOUNTHOLDER

Please tick one of the following statements that best describes the Entity:

Part 1	
<input type="checkbox"/>	1A. Financial Institution - Investment Entity (i) An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution <i>(Note: if ticking this box please also complete the Controlling Persons in Part 2 below.)</i> (ii) Other Investment Entity
<input type="checkbox"/>	1B. Financial Institution - Depository Institution, Custodial Institution or Specified Insurance Company If (i) or (ii) above have been ticked, please provide, if held, the corresponding Global Intermediary Identification Number ("GIIN") obtained for FATCA purposes. GIIN _____
<input type="checkbox"/>	1C. Active Non-Financial Entity (Active NFE) - an entity the stock of which is regularly traded on an established securities market or an entity which is a related entity of such an entity Name of established securities market on which the entity is regularly traded: _____ If the entity is a Related Entity of a regularly traded entity, please provide the name of the regularly traded entity that the Entity for which this form is completed is a Related Entity of: _____
<input type="checkbox"/>	1D. Active NFE - a Government Entity or Central Bank
<input type="checkbox"/>	1E. Active NFE - an International Organisation
<input type="checkbox"/>	1F. Active NFE (others - for example, a start-up NFE or a non-profit NFE)
<input type="checkbox"/>	1G. The Entity is a Passive Non-Financial Entity (Passive NFE) <i>(Note: if ticking this box please also complete the Controlling Persons in Part 2 below.)</i>

Part 2			
	Controlling Person 1	Controlling Person 2	Controlling Person 3
Name <i>(as in Passport/ID)</i>			
Passport/ID No.			
Passport/ID Country			
Date of Birth			
Country of Birth			
% of Ownership			
Address			
Tax resident in Singapore? (Yes/No)			
TIN			
Tax resident in any other country other than Singapore? (Yes/No, if Yes, list below)			

Controlling Person 1

No.	Country(s)/ Jurisdiction(s) of tax residence	TIN	If TIN is unavailable, tick Reason* A, B or C	If Reason B has been selected, please indicate why TIN is not available
1.			A B C	
2.			A B C	
3.			A B C	
4.			A B C	

Controlling Person 2

No.	Country(s)/ Jurisdiction(s) of tax residence	TIN	If TIN is unavailable, tick Reason* A, B or C	If Reason B has been selected, please indicate why TIN is not available
1.			A B C	
2.			A B C	
3.			A B C	
4.			A B C	

Controlling Person 3

No.	Country(s)/ Jurisdiction(s) of tax residence	TIN	If TIN is unavailable, tick Reason* A, B or C	If Reason B has been selected, please indicate why TIN is not available
1.			A B C	
2.			A B C	
3.			A B C	
4.			A B C	

	Controlling Person 1	Controlling Person 2	Controlling Person 3
Authorised Signature			
Date <i>(DD/MMM/YYYY)</i>			
Registered Entity Name			

STANDARD SETTLEMENT INSTRUCTION FORM *(You only need to complete this form if you intend to fund your trading account from more than one bank account.)[^]*

Registered Entity Name: _____

Name of Remitting Account / Currency		/	
Full Name of Owner of Remitting Account <i>(if different from Customer)</i>			
Name of Remitting Bank			
Account Number of Remitting Bank			
SWIFT or IBAN Code of Remitting Bank			
Name of Intermediary Bank <i>(if applicable)</i>			
SWIFT or IBAN Code of Intermediary Bank			

Name of Remitting Account / Currency		/	
Full Name of Owner of Remitting Account <i>(if different from Customer)</i>			
Name of Remitting Bank			
Account Number of Remitting Bank			
SWIFT or IBAN Code of Remitting Bank			
Name of Intermediary Bank <i>(if applicable)</i>			
SWIFT or IBAN Code of Intermediary Bank			

Name of Remitting Account / Currency		/	
Full Name of Owner of Remitting Account <i>(if different from Customer)</i>			
Name of Remitting Bank			
Account Number of Remitting Bank			
SWIFT or IBAN Code of Remitting Bank			
Name of Intermediary Bank <i>(if applicable)</i>			
SWIFT or IBAN Code of Intermediary Bank			

Name of Remitting Account / Currency		/	
Full Name of Owner of Remitting Account <i>(if different from Customer)</i>			
Name of Remitting Bank			
Account Number of Remitting Bank			
SWIFT or IBAN Code of Remitting Bank			
Name of Intermediary Bank <i>(if applicable)</i>			
SWIFT or IBAN Code of Intermediary Bank			

[^] Please provide a copy of the recent bank statement(s) for the bank account(s) being used to fund the trading account.

DECLARATION

• We confirm and declare that all of the information that has been provided as indicated below *(please tick where applicable)*:

1. Financial Institution Account - Customer Application Form *(including supporting documents)*
2. Tax Residency Status Declaration
 - a. Foreign Account Tax Compliance Act (FATCA) Self-Certification Form
 - b. Common Reporting Standard (CRS) Self-Certification Form
3. Standard Settlement Instruction (SSI)
4. Extract of Board Resolution
5. Wolfsberg Group Financial Crime Compliance Questionnaire

is complete, current and accurate.

- We undertake to notify IFPL in writing of any change in circumstances that causes any certification on this form to become incorrect and to provide an appropriately updated form within 30 days of such change.
- We undertake to immediately notify IFPL in writing if there are any changes to the “Ownership and Controlling Persons of Entity” (“Controlling Persons”) as provided in Section 3 of the Financial Institution Account – Customer Application Form.
- We further undertake to provide such documents as IFPL may require from time to time in its sole discretion for the purpose of IFPL validating the information relating to the Controlling Persons.
- Without prejudice to any other rights or remedies IFPL may otherwise have, we shall indemnify, keep indemnified and hold IFPL harmless against any and all liabilities, actions, claims, losses, damages, costs and expenses (including but not limited to legal costs on a full indemnity basis) suffered or incurred by IFPL as a result of, or in connection with, the information being inaccurate, outdated or untrue.
- We acknowledge that a failure on our part to provide accurate and timely information pursuant to IFPL's obligations may result in IFPL taking necessary measures and actions including but not limited to as provided in the Regulations and all applicable laws relating to the same.
- We are aware of the risks associated with investing and understand all forms of investments carry risks, including the risk of losing more than the invested amount and that such activities may not be suitable for everyone.
- We acknowledge that we have received, read and understood to the terms and conditions comprised in the IFPL Customer Agreement that shall apply to and govern:
 - (a) each Account¹ currently requested for;
 - (b) all Accounts¹ opened and currently maintained; and
 - (c) all Accounts subsequently opened or established, with IFPL and in respect of all Transactions¹ and Services¹.
- By signing this Declaration, we agree to enter into and be bound by all the terms and conditions set out within the IFPL Customer Agreement and the Customer Application Form (including all other documents, supporting information and/or forms required to be completed as part of this Customer Application Form).

¹ as defined in the IFPL Customer Agreement.

Registered Financial Institution Name		AFFIX COMPANY STAMP:
Name of Authorised Signatory		
Signature of Authorised Signatory		
Date (DD/MM/YY)		

Attention: Customer Onboarding Desk
 INTL FCSTONE PTE.LTD.
 One Raffles Place
 #12-62 Tower 2
 Singapore 048616
 Email: Onboarding.Asia@intlfcstone.com
 Business Registration No. 201130598R



Financial Institution Name:

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Location (Country) :

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No #	Question	Answer
1. ENTITY & OWNERSHIP		
1	Full Legal Name	
2	Append a list of branches which are covered by this questionnaire	
3	Full Legal (Registered) Address	
4	Full Primary Business Address (if different from above)	
5	Date of Entity incorporation / establishment	
6	Select type of ownership and append an ownership chart if available	
6 a	Publicly Traded (25% of shares publicly traded)	
6 a1	If Y, indicate the exchange traded on and ticker symbol	
6 b	Member Owned / Mutual	
6 c	Government or State Owned by 25% or more	
6 d	Privately Owned	
6 d1	If Y, provide details of shareholders or ultimate beneficial owners with a holding of 10% or more	
7	% of the Entity's total shares composed of bearer shares	
8	Does the Entity, or any of its branches, operate under an Offshore Banking License (OBL) ?	
8 a	If Y, provide the name of the relevant branch/es which operate under an OBL	

2. AML, CTF & SANCTIONS PROGRAMME		
9	Does the Entity have a programme that sets minimum AML, CTF and Sanctions standards regarding the following components:	
9 a	Appointed Officer with sufficient experience / expertise	
9 b	Cash Reporting	
9 c	CDD	
9 d	EDD	
9 e	Beneficial Ownership	
9 f	Independent Testing	
9 g	Periodic Review	
9 h	Policies and Procedures	
9 i	Risk Assessment	
9 j	Sanctions	
9 k	PEP Screening	
9 l	Adverse Information Screening	
9 m	Suspicious Activity Reporting	
9 n	Training and Education	
9 o	Transaction Monitoring	
10	Is the Entity's AML, CTF & Sanctions policy approved at least annually by the Board or equivalent Senior Management Committee?	
11	Does the Entity use third parties to carry out any components of its AML, CTF & Sanctions programme?	
11 a	If Y, provide further details	
3. ANTI BRIBERY & CORRUPTION		
12	Has the Entity documented policies and procedures consistent with applicable ABC regulations and requirements to [reasonably] prevent, detect and report bribery and corruption?	
13	Does the Entity's internal audit function or other independent third party cover ABC Policies and Procedures?	
14	Does the Entity provide mandatory ABC training to:	
14 a	Board and Senior Committee Management	
14 b	1st Line of Defence	
14 c	2nd Line of Defence	
14 d	3rd Line of Defence	
14 e	3rd parties to which specific compliance activities subject to ABC risk have been outsourced	
14 f	Non-employed workers as appropriate (contractors / consultants)	

4. POLICIES & PROCEDURES		
15	Has the Entity documented policies and procedures consistent with applicable AML, CTF & Sanctions regulations and requirements to reasonably prevent, detect and report:	
15 a	Money laundering	
15 b	Terrorist financing	
15 c	Sanctions violations	
16	Does the Entity have policies and procedures that:	
16 a	Prohibit the opening and keeping of anonymous and fictitious named accounts	
16 b	Prohibit the opening and keeping of accounts for unlicensed banks and / or NBFIs	
16 c	Prohibit dealing with other entities that provide banking services to unlicensed banks	
16 d	Prohibit accounts / relationships with shell banks	
16 e	Prohibit dealing with another Entity that provides services to shell banks	
16 f	Prohibit opening and keeping of accounts for Section 311 designated entities	
16 g	Prohibit opening and keeping of accounts for any of unlicensed / unregulated remittance agents, exchanges houses, casa de cambio, bureaux de change or money transfer agents	
16 h	Assess the risks of relationships with PEPs, including their family and close associates	
16 i	Define escalation processes for financial crime risk issues	
16 j	Specify how potentially suspicious activity identified by employees is to be escalated and investigated	
16 k	Outline the processes regarding screening for sanctions, PEPs and negative media	
17	Has the Entity defined a risk tolerance statement or similar document which defines a risk boundary around their business?	
18	Does the Entity have a record retention procedures that comply with applicable laws?	
18 a	If Y, what is the retention period?	

5. KYC, CDD and EDD		
19	Does the Entity verify the identity of the customer?	
20	Do the Entity's policies and procedures set out when CDD must be completed, e.g. at the time of onboarding or within 30 days	
21	Which of the following does the Entity gather and retain when conducting CDD? Select all that apply:	
21 a	Ownership structure	
21 b	Customer identification	
21 c	Expected activity	
21 d	Nature of business / employment	
21 e	Product usage	
21 f	Purpose and nature of relationship	
21 g	Source of funds	
21 h	Source of wealth	
22	Are each of the following identified:	
22 a	Ultimate beneficial ownership	
22 a1	Are ultimate beneficial owners verified?	
22 b	Authorised signatories (where applicable)	
22 c	Key controllers	
22 d	Other relevant parties	
23	Does the due diligence process result in customers receiving a risk classification?	
24	Does the Entity have a risk based approach to screening customers and connected parties to determine whether they are PEPs, or controlled by PEPs?	
25	Does the Entity have policies, procedures and processes to review and escalate potential matches from screening customers and connected parties to determine whether they are PEPs, or controlled by PEPs?	
26	Does the Entity have a process to review and update customer information based on:	
26 a	KYC renewal	
26 b	Trigger event	
27	From the list below, which categories of customers or industries are subject to EDD and / or are restricted, or prohibited by the Entity's FCC programme?	
27 a	Non-account customers	
27 b	Offshore customers	

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27 c	Shell banks	
27 d	MVTS/ MSB customers	
27 e	PEPs	
27 f	PEP Related	
27 g	PEP Close Associate	
27 h	Correspondent Banks	
27 h1	If EDD or EDD & Restricted, does the EDD assessment contain the elements as set out in the Wolfsberg Correspondent Banking Principles 2014?	
27 i	Arms, defense, military	
27 j	Atomic power	
27 k	Extractive industries	
27 l	Precious metals and stones	
27 m	Unregulated charities	
27 n	Regulated charities	
27 o	Red light business / Adult entertainment	
27 p	Non-Government Organisations	
27 q	Virtual currencies	
27 r	Marijuana	
27 s	Embassies / Consulates	
27 t	Gambling	
27 u	Payment Service Provider	
27 v	Other (specify)	
28	If restricted, provide details of the restriction	

6. MONITORING & REPORTING		
29	Does the Entity have risk based policies, procedures and monitoring processes for the identification and reporting of suspicious activity?	
30	What is the method used by the Entity to monitor transactions for suspicious activities?	
30 a	Automated	
30 b	Manual	
30 c	Combination of automated and manual	
31	Does the Entity have regulatory requirements to report currency transactions?	
31 a	If Y, does the Entity have policies, procedures and processes to comply with currency reporting requirements?	
32	Does the Entity have policies, procedures and processes to review and escalate matters arising from the monitoring of customer transactions and activity?	
7. PAYMENT TRANSPARENCY		
33	Does the Entity adhere to the Wolfsberg Group Payment Transparency Standards?	
34	Does the Entity have policies, procedures and processes to [reasonably] comply with and have controls in place to ensure compliance with:	
34 a	FATF Recommendation 16	
34 b	Local Regulations	
34 b1	Specify the regulation	
34 c	If N, explain	

8. SANCTIONS		
35	Does the Entity have policies, procedures or other controls reasonably designed to prohibit and / or detect actions taken to evade applicable sanctions prohibitions, such as stripping, or the resubmission and / or masking, of sanctions relevant information in cross border transactions?	
36	Does the Entity screen its customers, including beneficial ownership information collected by the Entity, during onboarding and regularly thereafter against Sanctions Lists?	
37	Select the Sanctions Lists used by the Entity in its sanctions screening processes:	
37 a	Consolidated United Nations Security Council Sanctions List (UN)	
37 b	United States Department of the Treasury's Office of Foreign Assets Control (OFAC)	
37 c	Office of Financial Sanctions Implementation HMT (OFSI)	
37 d	European Union Consolidated List (EU)	
37 e	Other (specify)	
38	Does the Entity have a physical presence, e.g., branches, subsidiaries, or representative offices located in countries / regions against which UN, OFAC, OFSI, EU and G7 member countries have enacted comprehensive jurisdiction-based Sanctions?	
9. TRAINING & EDUCATION		
39	Does the Entity provide mandatory training, which includes :	
39 a	Identification and reporting of transactions to government authorities	
39 b	Examples of different forms of money laundering, terrorist financing and sanctions violations relevant for the types of products and services offered	
39 c	Internal policies for controlling money laundering, terrorist financing and sanctions violations	
39 d	New issues that occur in the market, e.g., significant regulatory actions or new regulations	
40	Is the above mandatory training provided to :	
40 a	Board and Senior Committee Management	
40 b	1st Line of Defence	
40 c	2nd Line of Defence	
40 d	3rd Line of Defence	
40 e	3rd parties to which specific FCC activities have been outsourced	
40 f	Non-employed workers (contractors / consultants)	
10. AUDIT		
41	In addition to inspections by the government supervisors / regulators, does the Entity have an internal audit function, a testing function or other independent third party, or both, that assesses FCC AML, CTF and Sanctions policies and practices on a regular basis?	