

Fund Self Declaration Form

Fund Self Declaration Form

This declaration is to be submitted with supporting corporate documents. This form should be signed by the authorised person(s). All relevant fields are mandatory.

Definition Saxo Bank: a trade name under which BinckBank N.V., a credit institution organized and licensed under Dutch law, acting through its Belgian branch office, offers its Services. The Belgian branch of BinckBank N.V. is located at Italiëlei 124, 2000 Antwerp and registered with the RPR Antwerp under company number BE 0842.123.910.

Part 1 / Entity Details

Full legal name: _____	Name of the bank account from where / to funds will be transferred to Saxo Bank: _____
Legal type (i.e. NV, BV, CV, VOF, etc): _____	NACE code: _____
VAT no: _____ No VAT eligible	Tax Identification Number: _____ No TIN
LEI no: _____	Entity registration number: _____
Date of incorporation: _____	License type (i.e. Licensed by EU Regulation UCITS/AIF and/or local regular): _____
License number: _____	License expiry date: _____
License issue date: _____	If not regulated, please elaborate: _____
Regulator: _____	_____
URL link to online license verification: _____	_____
_____	_____
Full registered address: _____	Full business address (of mind and management) if different from the previous answer: _____
_____	_____
_____	_____
Primary E-mail address: _____	Primary phone number: _____
_____	Website: _____
If the account is for a sub-cell/segregated portfolio/unit, please provide its name: _____	_____
_____	_____
Base currency for the account: _____	_____
Others: _____	_____

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Part 2 / Business Details

Investment objective: _____

Country of residency of targeted investors: _____

Expected assets under management: _____

Expected funding amount over the first 12 months: _____

Launch date of the fund/sub-cell/segregated portfolio/unit: _____

From which country(-ies) will you send the funds? _____

To which country (-ies) do you intend to withdraw funds? _____

Part 3 / Ownership

Authorised voting/management share capital: _____

Authorised investor/participating share capital: _____

Issued voting/management share capital: _____

Issued investor/participating share capital: _____

Total number of issued voting/management shares: _____

Total number of issued investor/participating shares: _____

Investor/participating shares are publicly traded: _____

Yes No

If yes fill in below:

Name of stock exchange(s): _____

Percentage of shares traded: _____

Full name of entity's securities: _____

Declaration of bearer shares voting and investor:

I/We hereby confirm that the entity and/or any of its corporate shareholders as of this date has not issued and has no intention of issuing bearer shares.

The entity undertakes to notify Saxo Bank in writing immediately, should the entity issue or intend to issue any bearer shares.

The entity understands and accepts that Saxo Bank may terminate any client relationship with the entity (including without limitation terminate any ISDA master agreement and institutional trading agreement) with a 30 day written notice upon the entity issuing any bearer shares or intending to issue any bearer shares.

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(a) Beneficial Owner(s) of management/voting shares*

Beneficial Owner 1*

Name: _____

Current residential address: _____

City: _____

Date of birth: _____

Country of residence: _____

Voting/management share ownership percentage: _____

E-mail address: _____

TIN (Tax Identification Number) in country of residence: _____

Postal code: _____

Nationality: _____

National ID in country of birth: _____

Country of birth: _____

PEP**: Yes No

Connected to a PEP: Yes No

Mobile phone: _____

Beneficial Owner 2*

Name: _____

Current residential address: _____

City: _____

Date of birth: _____

Country of residence: _____

Voting/management share ownership percentage: _____

E-mail address: _____

TIN (Tax Identification Number) in country of residence: _____

Postal code: _____

Nationality: _____

National ID in country of birth: _____

Country of birth: _____

PEP**: Yes No

Connected to a PEP: Yes No

Mobile phone: _____

* Beneficial Owner(s) of management/voting shares: Any individual owning directly or indirectly 25% or more of the entity voting shares.

** For a definition of a 'PEP' and connected to PEP, please refer to Annex 1.

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Beneficial Owner 3*

Name: _____

Current residential address: _____

City: _____

Date of birth: _____

Country of residence: _____

Voting/management share ownership percentage: _____

E-mail address: _____

TIN (Tax Identification Number) in country of residence: _____

Postal code: _____

Nationality: _____

National ID in country of birth: _____

Country of birth: _____

PEP**: Yes No

Connected to a PEP: Yes No

Mobile phone: _____

Beneficial Owner 4*

Name: _____

Current residential address: _____

City: _____

Date of birth: _____

Country of residence: _____

Voting/management share ownership percentage: _____

E-mail address: _____

TIN (Tax Identification Number) in country of residence: _____

Postal code: _____

Nationality: _____

National ID in country of birth: _____

Country of birth: _____

PEP**: Yes No

Connected to a PEP: Yes No

Mobile phone: _____

* Beneficial Owner(s) of management/voting shares: Any individual owning directly or indirectly 25% or more of the entity voting shares.

** For a definition of a 'PEP' and connected to PEP, please refer to Annex 1.

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(b) Beneficial Owner(s) of investor/participating shares*

If there are currently no investor/ participating shareholders, please inform about the source of funds to be transferred to the account with Saxo:

Beneficial Owner 1*

Name: _____	TIN (Tax Identification Number) in country of residence: _____
Current residential address: _____	_____
_____	Postal code: _____
City: _____	Nationality: _____
Date of birth: _____	National ID in country of birth: _____
Country of residence: _____	Country of birth: _____
Investor/participating share ownership percentage: _____	PEP**: Yes No
_____	Connected to a PEP: Yes No
E-mail address: _____	Mobile phone: _____

Beneficial Owner 2*

Name: _____	TIN (Tax Identification Number) in country of residence: _____
Current residential address: _____	_____
_____	Postal code: _____
City: _____	Nationality: _____
Date of birth: _____	National ID in country of birth: _____
Country of residence: _____	Country of birth: _____
Investor/participating share ownership percentage: _____	PEP**: Yes No
_____	Connected to a PEP: Yes No
E-mail address: _____	Mobile phone: _____

* Beneficial Owner(s) of investor/participating shares: Any individual owning directly or indirectly 25% or more of the fund/sub-cell/ segregated portfolio/unit's investor shares.

** For a definition of a 'PEP' and connected to PEP, please refer to Annex 1.

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Beneficial Owner 3*

Name: _____

Current residential address: _____

City: _____

Date of birth: _____

Country of residence: _____

Investor/participating share ownership percentage: _____

E-mail address: _____

TIN (Tax Identification Number) in country of residence: _____

Postal code: _____

Nationality: _____

National ID in country of birth: _____

Country of birth: _____

PEP**: Yes No

Connected to a PEP: Yes No

Mobile phone: _____

Beneficial Owner 4*

Name: _____

Current residential address: _____

City: _____

Date of birth: _____

Country of residence: _____

Investor/participating share ownership percentage: _____

E-mail address: _____

TIN (Tax Identification Number) in country of residence: _____

Postal code: _____

Nationality: _____

National ID in country of birth: _____

Country of birth: _____

PEP**: Yes No

Connected to a PEP: Yes No

Mobile phone: _____

* Beneficial Owner(s) of investor/participating shares: Any individual owning directly or indirectly 25% or more of the fund/sub-cell/ segregated portfolio/unit's investor shares.

** For a definition of a 'PEP' and connected to PEP, please refer to Annex 1.

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Part 4 / Legal Representatives

Director/Manager 1

Name: _____

Current residential address: _____

City: _____

Date of birth: _____

Country of residence: _____

Role: Board of directors Board of management

Authorised signatory

Mobile phone: _____

E-mail address: _____

TIN (Tax Identification Number) in country of residence: _____

Postal code: _____

Nationality: _____

National ID in country of birth: _____

Country of birth: _____

Signing rules (how he/she can sign): Solely Jointly

PEP*: Yes No

Connected to a PEP: Yes No

Director/Manager 2

Name: _____

Current residential address: _____

City: _____

Date of birth: _____

Country of residence: _____

Role: Board of directors Board of management

Authorised signatory

Mobile phone: _____

E-mail address: _____

TIN (Tax Identification Number) in country of residence: _____

Postal code: _____

Nationality: _____

National ID in country of birth: _____

Country of birth: _____

Signing rules (how he/she can sign): Solely Jointly

PEP*: Yes No

Connected to a PEP: Yes No

* For a definition of 'PEP' and connected to PEP please refer to Annex 1.

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Director/Manager 3

Name: _____

Current residential address: _____

City: _____

Date of birth: _____

Country of residence: _____

Role: Board of directors Board of management
 Authorised signatory

Mobile phone: _____

E-mail address: _____

TIN (Tax Identification Number) in country of residence: _____

Postal code: _____

Nationality: _____

National ID in country of birth: _____

Country of birth: _____

Signing rules (how he/she can sign): Solely Jointly
 PEP*: Yes No

Connected to a PEP: Yes No

Director/Manager 4

Name: _____

Current residential address: _____

City: _____

Date of birth: _____

Country of residence: _____

Role: Board of directors Board of management
 Authorised signatory

Mobile phone: _____

E-mail address: _____

TIN (Tax Identification Number) in country of residence: _____

Postal code: _____

Nationality: _____

National ID in country of birth: _____

Country of birth: _____

Signing rules (how he/she can sign): Solely Jointly
 PEP*: Yes No

Connected to a PEP: Yes No

* For a definition of 'PEP' and connected to PEP please refer to Annex 1.

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Part 5 / Authorised Dealers

Authorised Dealer 1

First Name: _____

Last Name: _____

Phone number: _____

E-mail address: _____

Authorised Dealer 2

First Name: _____

Last Name: _____

Phone number: _____

E-mail address: _____

Authorised Dealer 3

First Name: _____

Last Name: _____

Phone number: _____

E-mail address: _____

Authorised Dealer 4

First Name: _____

Last Name: _____

Phone number: _____

E-mail address: _____

Authorised Dealer 5

First Name: _____

Last Name: _____

Phone number: _____

E-mail address: _____

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Part 6 / Details of the Investment Manager

(Responsible for portfolio management of the fund)

Full name: _____

Full registered address: _____

Full business address (of mind and management) if
different from the previous answer:

Corporate registration no.: _____

Regulator: _____

License type: _____

License number: _____

License issue date: _____

License expiry date: _____

If not regulated, please elaborate:

URL link to online license verification:

Primary E-mail address:

Primary phone number: _____

Legal representatives (full name and country
of residency):

Website: _____

Has investment management duty been delegated to another entity?

Yes No

If yes, please fill in the part 8

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Part 7 / Details of the Investment Advisor

(If applicable)

Full name: _____	Address: _____
Postal code: _____	City: _____
Country: _____	Corporate registration no.: _____
Regulator: _____	License no.: _____
License type: _____	License number: _____
If not regulated, please elaborate: _____ _____	

Part 8 / Details of Sub-Delegated Investment Manager

(If applicable)

Full name: _____	Full registered address: _____ _____
Full business address (of mind and management) if different from the previous answer: _____ _____	Corporate registration no.: _____
License number: _____	Regulator: _____
License type: _____	Date of incorporation: _____
License expiry date: _____	License issue date: _____
URL link to online license verification: _____	If not regulated, please elaborate: _____ _____ _____
Primary E-mail address: _____	Primary phone number: _____
	Website: _____
Legal representatives (full name and country of residency): _____ _____	

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Part 9 / Details of the Administrator

(Responsible for AML monitoring, owner register and bookkeeping of the Fund)

Full name: _____ Address: _____

Postal code: _____ City: _____

Country: _____ Corporate registration no.: _____

Regulator: _____ License no.: _____

Individuals who can legally sign on behalf of the administrator:

Has investment management duty been delegated to another entity?

Yes No

If yes, please fill in the part 10

Part 10 / Details of Sub-Delegated Administrator

(If applicable)

Full name: _____ Address: _____

Postal code: _____ City: _____

Country: _____ Corporate registration no.: _____

Regulator: _____ License no.: _____

Individuals who can legally sign on behalf of the administrator:

Part 11 / Details of the Depository/Custodian Bank

Full name: _____ Address: _____

Postal code: _____ City: _____

Country: _____ Corporate registration no.: _____

Regulator: _____ License no.: _____

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Part 12 / Details of the Auditor

Full name: _____	Address: _____
Postal code: _____	City: _____
Country: _____	Corporate registration no.: _____
Regulator: _____	License no.: _____

Part 13 / Persons with Plural Positions

If any person holds positions in more than one of the three: the Fund, the Administrator and the Investment Manager, such person shall be listed here:

Name	Position with Fund	Position with Administrator	Position with Investment Manager

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Part 14 / CRS

(Common reporting standard in OECD context)

For the purpose of CRS due diligence and reporting requirements imposed on Saxo Bank, please provide the FI's CRS information below.

I/We declare our CRS status to:

- A. Financial Institution - Investment Entity
- a. An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution
 - b. Other Investment Entity
- B. Financial Institution – Depository Institution, Custodial Institution or Specified Insurance Company

Only complete this section if the FI is tax resident in more/other countries than the country of registered address:

Country of Residence	Address	TIN	No TIN available

Please attach a separate document if further countries of residency.

If (a) is ticked please indicate the name of any Controlling Person(s) of the FI:

Name	Address	Country of tax residence	TIN

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Part 15 / Claim for US Tax Treaty Benefits - US withholding Tax Treaty Statement

Entities/corporations in jurisdictions that have concluded a tax treaty with the U.S. may under the provisions of such tax treaty be eligible for reduced rates on withholding taxes on income derived from sources in the U.S. The applicability of treaty benefits, however, depends on whether the recipient meets the provisions in the specific tax treaty, including any limitation of benefits provisions. It is the responsibility of the client to ensure that such provisions are met. Please consult with your tax advisor on treaty benefit issues.

Please tick off the below declaration if you want to claim tax treaty benefits:

Company name:

meets all the provisions of the Tax Treaty between US and (country) that are necessary to claim a reduced rate of withholding, including any limitation on benefits provision, and derives the income within the meaning of section 894 of the US Internal Revenue Code, and the regulations thereunder, as the beneficial owner.

The following are types of limitation on benefits provisions that may be included in the applicable tax treaty (click only one):

- | | |
|---|---|
| Government | Subsidiary of publicly traded Corporation |
| Favourable discretionary determination by the U.S. competent authority received | Company with an item of income that meets active trade or business test |
| Tax exempt pension trust or pension fund | Company that meets the derivative benefits test |
| Company that meets the ownership and base erosion test | Publicly traded corporation |
| Other tax exempt | |
| Other (please specify article and paragraph) | |

Part 16 / Certification

I declare that I have authorisation to sign on behalf of the company.

Name: _____

Date: _____

Signature: _____

I declare that I have authorisation to sign on behalf of the company.

Name: _____

Date: _____

Signature: _____

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Sub Account Form

Saxo Bank kindly asks the client to submit the following information:

Client name: _____

Part A / Request for Sub-Account to your existing Account

Number of sub-accounts: _____

Currencies of the sub-account(s): _____

For accounts requested in the same currency as an existing account, kindly provide the reason below:

Saxo Bank may allow its clients to open sub-accounts denominated in the same or other currencies than the main trading account. Trading on sub-accounts may be beneficial if the client is applying different trading strategies (e.g. long term trading vs. short term trading) or the client is trading products denominated in currencies different from the currency on the main trading account.

On the other hand, maintaining more than one sub-account may entail disadvantages as well.

Rollover charges

If a client opens opposite positions in the same currency cross on the same account, such positions will cancel each other out. However if such opposite positions are opened on different sub-accounts they will not cancel each other out.

A spot trade that is not closed by the client at the end of the trading day will be rolled over on a daily basis (i.e. "swapped" for a similar position expiring the next day). A spot trade being rolled over will incur a charge (the "tom-next rate").

Please be aware that keeping opposite positions open on different sub-accounts will result in both positions being continuously rolled over (and thereby continuously being charged the "tom-next rate") until manually closed. The operation of sub-accounts may therefore imply additional costs for the client.

The example above regarding currency trading is applicable to other instruments as well if a client holds long and short positions in such instruments on different sub-accounts.

Interest calculation

Unless specifically agreed otherwise interest is calculated on the basis of the net free equity on each individual account or subaccount. You will therefore be charged interest on the full negative net free equity on any account despite having a positive net free equity on another account. When operating several sub-accounts you may therefore be charged interest despite having an overall (accumulated) positive net free equity.

Based on the issues mentioned above, Saxo Bank recommends its clients to exercise caution when using more than one subaccount.

I hereby acknowledge and accept that the use of sub-accounts may result in such additional costs and actions as mentioned above.

This acknowledgement will apply to all existing and later sub-accounts, in any currency opened by the client.

Date: _____ Signature: _____

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Annex 1: PEPS/Connected to PEP

A. General definitions: 'PEP' and 'Connected to a PEP':

Politically Exposed Person (PEP)

A natural person who holds or has held a prominent public position, and in particular:

- a. heads of state, government leaders, ministers and secretaries of state;
- b. MPs or members of similar legislative bodies;
- c. members of governing bodies of political parties;
- d. members of supreme courts, constitutional courts or other high courts, including administrative courts, who give judgments which are not subject to appeal, except in exceptional circumstances;
- e. members of courts of auditors or governing boards of central banks;
- f. ambassadors, consuls, chargé d'affaires and senior officers of the armed forces;
- g. members of the management, supervisory or governing body of public enterprises;
- h. directors, deputy directors and members of the board of directors or holding an equivalent position in an international organisation.

Or natural persons who are the sole beneficial owners of a company, fiduciary, trust, association or foundation, which is known to have been formed in fact for the benefit of a politically exposed person.

Connected to a Politically Exposed Person (PEP)

means family members and close associates Family members includes the following: The spouse, the children and their spouses, or persons considered to be equivalent to a spouse and the parents of a politically exposed person.

Family members includes the following:

The spouse, the children and their spouses, or persons considered to be equivalent to a spouse and the parents of a politically exposed person.

Persons known to be close associates means:

- A. Natural persons who are known to have joint beneficial ownership of legal entities or legal arrangements, or any other close business relations, with a politically exposed person;
- B. Natural persons who have sole beneficial ownership of a legal entity or legal arrangement which is known to have been set up or the de facto benefit of a politically exposed person.