

Self Declaration Form for Financial Clients

Self Declaration Form for Financial Clients

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

Definition Saxo Bank: BinckBank N.V. operating under the tradename Saxo Bank., having its registered office and principal place of business at Barbara Strozziilaan 310, 1083 HN Amsterdam;

Part 1 / Company Details

Full legal name:

Legal type (i.e. Ltd, Partnership, SICAV, Trust, etc):

LEI no.:

Date of incorporation:

Does the company provide financial services to clients?

Yes No

License type:

License number:

License expiry date:

Financial supervisory authority:

Full registered address:

Primary email address for legal notices:

Base currency for the account:

Trading name(s) used (if different from full name):

NACE code:

VAT no:

No VAT eligible

Tax Identification Number:

No TIN

Does the company carry out financial transactions/
services as their principal activity:

Yes No

Is the company licensed to hold client funds?

Yes No

License issue date:

URL link to online license verification:

Full business address, i.e. where management is located
(if different from registered address):

Primary phone number:

Company website:

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Part 2 / Business Details

Number of employees in the company: _____

Number of clients in the company: _____

Please confirm the top 5 countries in which introduced clients are resident/domiciled. Please list by share of total client base in decreasing order.

Country	Percentage
A: _____	_____
B: _____	_____
C: _____	_____
D: _____	_____
E: _____	_____

Is the company directly/indirectly owned by a licensed institution?

No Yes (If yes, please specify)

Name of the licensed institution: _____

License type: _____ Issuing date: _____

Financial supervisory authority: _____

Funds:

From which country/ies will the company send the funds: _____

To which country/ies does the company intend to withdraw funds: _____

Do any of the funds deposited in the account with Saxo Bank belong to a client of the company?

Yes No

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Part 3 / Ownership

(Please provide ownership structure chart including direct/indirect corporate and private individual shareholders)

Authorised capital / currency: _____ Issued share capital: _____

Total number of issued shares: _____

For listed company/publicly traded

Name of stock exchange(s): _____ Percentage of Stocks listed: _____

Full name of company's securities: _____ Stock exchange listing code: _____

Declaration of bearer shares:

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

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

The company understands and accepts that Saxo Bank may terminate any client relationship with the company (including without limitation terminate any ISDA Master Agreement and Institutional Trading Agreement) with a 30-day written notice upon the company issuing any bearer shares or intending to issue any bearer shares.

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: _____

Voting rights percentage: ____ % Direct Indirect Ownership percentage: ____ % Direct Indirect

PEP**: Yes No Connected to a PEP**: Yes No

E-mail address: _____ Mobile phone: _____

* Beneficial Owner: Any individual owning directly or indirectly 25% or more of the company shares/voting rights or any individual(s) on whose behalf a transaction is conducted or business relations are established, and includes any individual(s) who exercises ultimate effective control over a company. More beneficial owners can be added to Annex 1, Part A.

** For a definition of 'PEP' and 'Connected to a PEP', please refer to Annex 1, Part B.

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Beneficial Owner 2*

Name: _____

Current residential address: _____

City: _____

Date of birth: _____

Country of residence: _____

Voting rights percentage: ____ % Direct Indirect

PEP**: Yes No

E-mail address: _____

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

Postal code: _____

Nationality: _____

National ID in country of birth: _____

Country of birth: _____

Ownership percentage: ____ % Direct Indirect

Connected to a PEP**: Yes No

Mobile phone: _____

Beneficial Owner 3*

Name: _____

Current residential address: _____

City: _____

Date of birth: _____

Country of residence: _____

Voting rights percentage: ____ % Direct Indirect

PEP**: Yes No

E-mail address: _____

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

Postal code: _____

Nationality: _____

National ID in country of birth: _____

Country of birth: _____

Ownership percentage: ____ % Direct Indirect

Connected to a PEP**: Yes No

Mobile phone: _____

* Beneficial Owner: Any individual owning directly or indirectly 25% or more of the company shares/voting rights or any individual(s) on whose behalf a transaction is conducted or business relations are established, and includes any individual(s) who exercises ultimate effective control over a company. More beneficial owners can be added to Annex 1, Part A.

** For a definition of 'PEP' and 'Connected to a PEP', please refer to Annex 1, Part B.

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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

* Further legal representatives can be added to Annex 1, Part A.

** For a definition of 'PEP' and 'Connected to a PEP', please refer to Annex 1. Part B.

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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 a PEP', please refer to Annex 1. Part B.

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Part 5 / Authorised Dealers

(Only company employee)

Authorised Dealer 1

First Name: _____

Last Name: _____

Phone number: _____

E-mail address: _____

First-time password (min 8 characters – MUST contain letters and numbers):

Authorised Dealer 2

First Name: _____

Last Name: _____

Phone number: _____

E-mail address: _____

First-time password (min 8 characters – MUST contain letters and numbers):

Authorised Dealer 3

First Name: _____

Last Name: _____

Phone number: _____

E-mail address: _____

First-time password (min 8 characters – MUST contain letters and numbers):

Authorised Dealer 4

First Name: _____

Last Name: _____

Phone number: _____

E-mail address: _____

First-time password (min 8 characters – MUST contain letters and numbers):

Authorised Dealer 5

First Name: _____

Last Name: _____

Phone number: _____

E-mail address: _____

First-time password (min 8 characters – MUST contain letters and numbers):

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Authorised Dealer 6

First Name: _____

Last Name: _____

Phone number: _____

E-mail address: _____

First-time password (min 8 characters – MUST contain
letters and numbers):

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Part 6 / FATCA Status (US Foreign Account Tax Compliance Act) Statutory Declaration

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

This form is only intended for non-US Financial Institutions (or FFIs) declaring to be direct beneficiaries of holdings and payments. Therefore, financial institutions declaring to be intermediaries of payments to underlying clients shall instead declare their FATCA Status with a separate US declaration (W-8IMY). Legal entities with FATCA Status of Non-Financial Entity (NFFE) cannot make status declaration here either. Note, that Saxo Bank does not on-board financial institutions that are categorized as non-participating FFIs.

For guidance on how to classify your account according to FATCA please refer to the instructions to US tax form W-8BEN-E or on www.irs.gov/fatca

Please provide the entity's Global Intermediary Identification Number (GIIN) if you have one:

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

On behalf of the legal entity/corporation:

I/We declare our FATCA status (Chapter 4 of the US Internal Revenue Code) to be:

Participating FFI

Reporting Model 1 FFI (the entity is domiciled in an IRS partner jurisdiction)

Reporting Model 2 FFI (the entity is domiciled in an IRS partner jurisdiction)

Registered deemed-compliant FFI (other than a reporting Model 1 FFI)

Sponsored FFI

Certified deemed-compliant non-registering local bank

Certified deemed-compliant FFI with only low-value accounts Certified deemed-compliant sponsored, closely held

Certified deemed-compliant limited life debt investment entity

Certified deemed-compliant investment advisors and investment managers

Certified-deemed compliant FFI

Owner-documented FFI

Non-reporting IGA FFI (including an FFI treated as a registered deemed-compliant FFI under an applicable Model 2 IGA)

Exempt retirement plans

Territory financial institution

Excepted inter-affiliate FFI

Note: If the entity's FATCA Status is not on the above list, the entity's FATCA Status must be declared in a separately provided Form W-8BEN-E.

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Part 7 / 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

Please attach a separate document if further controlling persons.

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Part 8 / 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) | |
-

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Part 9 / EMIR Reporting and UMR

EMIR is an EU and UK regulations that mandates reporting of derivative trades and positions to Trade Repositories (TRs). Monitoring is undertaken by European Securities and Markets Authorities ('ESMA'), as well as all National Competent Authorities (NCAs).

For guidance on how to determine answers to the below please refer to the [FAQ](#).

EMIR counterparty status:

1. The nature and corporate sector

Financial counterpart (FC) with corporate sector(s)

- Assurance undertaking
- Central Securities Depository
- Credit institution
- Investment firm
- Insurance undertaking
- Alternative investment fund (AIF) managed by Alternative Investment Fund Managers (AIFMs)
- Institution for occupational retirement provision (IORP)
- Reinsurance undertaking
- Undertakings for the Collective Investment in Transferable Securities (UCITS) and its management company

Non-Financial counterpart (NFC)

Your Company's derivative trades with Saxo will be for the purpose of hedging, as defined by EMIR rules.

- Yes
- No

2. Is your company above or below the EMIR clearing thresholds?

- Above the thresholds (i.e. FC+/NFC+)
- Below the thresholds (i.e. FC-/NFC-)
- Not in scope of EMIR regulation

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UMR Question 1 (to all NFC+ and FC clients)

Saxo is in scope for Uncleared Margin Rules (UMR) as of September 1st, 2022 (see the attached FAQ for more details).

Is your organization in scope for UMR?

Yes

No

UMR Question 2 (To all that answers yes to UMR question 1)

In line with the IOSCO statement dated March 5th 2019 regarding initial margin for non-centrally cleared derivatives, Saxo Bank has determined, in accordance with the relevant regulation, that counterparty relationships below the regulatory initial margin threshold (EUR 50 million in Europe) do not need to meet the all the documentation and custodial requirements. Instead, Saxo Bank will set up daily calculation of the regulatory initial margin requirement. If your initial margin requirement in Saxo Bank's sole opinion approaches the regulatory threshold, Saxo Bank will contact you in good faith and initiate negotiations to enter into the relevant legal documentation and establish custodial arrangements in a timely manner for the exchange of regulatory initialmargin.

By submitting this declaration I hereby acknowledge that I have read, understand and agree to the terms of this document relating to Saxo Bank's treatment of initial margin for non-centrally cleared derivatives. Should you consider it appropriate at this time, to initiate negotiations to enter into the relevant legal documentation and establish custodial arrangements, we kindly ask you to reach out to your designated contact within Saxo Bank.

Accept

Yes

No

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Part 10 / 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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Annex 1. Part A: Additional Beneficial Owners/Legal Representatives

Beneficial Owner 4*

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: _____
Voting rights percentage: _____% Direct Indirect	Ownership percentage: _____% Direct Indirect
PEP**: Yes No	Connected to a PEP**: Yes No
E-mail address: _____	Mobile phone: _____

Director/Manager 5

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: _____
Role: Board of directors Board of management	Signing rules (how he/she can sign): Solely Jointly
Authorised signatory	PEP**: Yes No
Mobile phone: _____	Connected to a PEP**: Yes No
E-mail address: _____	

* Beneficial Owner: Any individual owning directly or indirectly 25% or more of the company shares/voting rights or any individual(s) on whose behalf a transaction is conducted or business relations are established, and includes any individual(s) who exercises ultimate effective control over a company. More beneficial owners can be added to Annex 1, Part A.

** For a definition of 'PEP' and 'Connected to a PEP', please refer to Annex 1, Part B.

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Director/Manager 6

Name: _____

TIN (Tax Identification Number) in country of residence:

Current residential address:

City: _____

Postal code:

Nationality:

Date of birth:

National ID in country of birth:

Country of residence:

Country of birth:

Role:	Board of directors	Board of management
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Signing rules (how he/she can sign): Solely Jointly

Authorised signatory

PEP**: Yes No

Mobile phone:

Connected to a PEP**: Yes No

E-mail address:

** For a definition of 'PEP' and 'Connected to a PEP', please refer to Annex 1, Part B.

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Annex 1. Part B: 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.