

Section 1 Company Information

Part 1 Company Details

Full name of Company:

Registered address:

Postcode:

Registration number:

Business address: same as Registered?

Business address:

LEI number – if applicable:

Main purpose of your business?

Part 2 Regulation

Is the company regulated by the FCA or equivalent?

 Yes No

If yes, please provide name of regulator and regulatory number:

Does the company have any pending litigation, disputed accounts or other unresolved matters?

 Yes No

Has the company ever been subject to Bankruptcy or Insolvency proceedings?

 Yes No

Part 3 Contact Details

Contact phone number:

Contact email address:

Name of main contact:

Position of main contact
in the business:

Part 4 Bank Details

Name of your bank:

Account name:

Account number/IBAN number:

Sort code/BIC:

Approx funds available for trading with
Sigma Trading (ccy):

Part 5 Directors

We are required to identify the Directors signing this form before the account can be opened.

For sole Directors/1st Director

Full name:

Residential address:

Postcode:

Date of birth:

2nd Director

Full name:

Residential address:

Postcode:

Date of birth:

Are any of the Directors currently or previously bankrupt?

 Yes No

If yes, please provide details:

Statements

We will send you statements by email. However, if you prefer to receive by post, please tick here

 Yes No

Trading currency

Please indicate your preferred currency accounts (you may have all five if required):

 GBP USD EUR JPY CHF

Account type

Please indicate the account type you require:

 CFD Spread Bet Both

Part 6 Login Details

User name:

Please do not begin your password with a symbol or number.
Use more than 3 characters.
& @ / | \ cannot be used.

Part 7 Knowledge and Experience

We are required to ask for your levels of knowledge and experience.
Please answer the following questions based ONLY on your trading on an execution-only basis.
Contact phone number:

Over the last 12 months, to what extent has the company traded the following:

Shares (Equities) and/or Bonds

Frequently Regularly Occasionally Rarely/ Never

Margin derivative products including CFDs, Spread Bets and Rolling Spot Foreign Exchange

Frequently Regularly Occasionally Rarely/ Never

Do those in your company who will be trading, have particular experience in OTC or leveraged derivatives, having worked in the Financial Services industry?

Yes No

If yes, please provide details:

Is there any further information you can provide that would help us assess whether our services are suited to your company?

We offer leveraged products that are high risk and can result in you losing more than your initial investment.
Do you understand that if your transaction does not perform as you expect, you could lose more than your investment?

Yes No

Do you understand that a small movement in the underlying market can result in your position incurring significantly greater profit or loss and that the higher the available leverage, the greater potential for this effect?

Yes No

You accept and agree that it is your responsibility to manage and monitor your account, using, where you deem it appropriate, our risk management tools such as Stop Losses?

Yes No

Part 8 Declarations

Before you apply to open an account, it is important that you have read and understood our terms and conditions of business along with the applicable schedules including our order execution policy, risk warning notice and conflict of interest policy.

 Yes

 No

The provider of these services is Sigma Broking Ltd trading as Sigma Trading (the 'Company') and by signing and returning this application, you agree that:

- I/we wish to apply for an account.
- I/we agree to be classified as a corporate account holder and that by being classified as such, we are not able to benefit from the security of the Financial Services Compensation Scheme .
- I/we have full power and authority to enter into this agreement.
- I/we have read, understood and agree to be bound by the terms of the Agreement as maybe amended for time to time.
- I/we agree to the terms of the Order Execution Policy and especially to the execution of orders outside of a regulated market or multi lateral trading facility.
- I/we agree to the use of my/our personal information as set out in the Terms and Conditions.
- I/we agree to the company communicating all documentation and any changes to said documentation to me electronically either by email or via the Sigma Trading web site.

Data Protection

To comply with all relevant legislation, the Company is required to collect information and undertake checks on the identity and residential addresses of Directors, Shareholders and other authorised signatories, including assessing and using the information held in our database or other electronic form. We may require additional documentation from you to support your application.

We may use the personal information of identifiable individuals, for example, for responding to credit reference searches, electoral register enquiries and other agency requests. You specifically confirm that you have read, understood and accept these terms.

Board resolution

We, the signatories named below, confirm that the information contained within this application form and any other documents that support this application, are completely accurate and up to date.

We also confirm that the following resolutions as stated below were duly passed at a meeting of the board of directors/the partners of _____ on the _____ day of _____ at which a quorum was present at all times.

The resolutions as stated have not been subsequently varied or revoked and no director/partner has then or since informed us of any declarable interest.

It was resolved to:

- open an account with Sigma Trading for the purpose of trading in Contracts for Difference, Spread Bets and/or Foreign Exchange.
- that we accept the terms and conditions of trading as set out on the Sigma Trading web site as updated from time to time.
- Authorise those below to operate the account on behalf of the company.
- notify Sigma Trading as soon as reasonably practicable in the event any of those named below are no longer authorised to act on behalf of the company.
- warrant that those named below are duly appointed directors or partners of the above named company and they continue to hold the position as stated.
- provide Sigma Trading with all the applicable documents as below as requested from time to time.
- Sign, date and return the application form and all other supporting documents as requested by Sigma Trading in order to allow for the account to be opened.

Part 9 Document Checklist

The following documents must accompany the signed and dated application form:

Certificate of Incorporation that should be notarised or certified.

Constitutional documents in the form of memorandum and articles of association or similar.

Original or certified evidence of both your trading and registered addresses (if different).

Certified copy of shareholders.

Notarised Proof of identity of a minimum of two directors and, if not, the actual signatories to the Customer Agreement. We will require notarised proof of identity of the signatories e.g. notarised copy of a passport or identity card. In addition, notarised proof of identity of anyone with 25% or more of the shareholder equity in the business if not already identified.

Notarised list of all directors, 'shadow' (non-executive) directors if applicable, and individuals with day to day control over the company's assets.

We have read, understood and agree to the foregoing and understand that if we're uncertain on any of the points above, we should seek professional, independent advice.

Name of Director/Partner _____

Signed _____ *Dated* _____

Name of Director/Partner _____

Signed _____ *Dated* _____

In the case of a Company, 2 Directors must sign. In the case of a Partnership, 2 Partners must sign.