

Please complete all information as accurately as possible in block capital letters using a black or blue pen or electronically.

CORPORATE DETAILS

Registered Name of the Corporate

Corporate Registration Number

Corporate Website Address

NACE Code

VAT Number (If not VAT eligible, please check 'No VAT')

No VAT

LEI

Tax Identification Number (TIN)

No TIN

Current Registered Address (1)

City/Zip Code (1)

State/Province (1)

Country (1)

Postal Address (if different-2)

City/Zip Code (2)

State/Province (2)

Country (2)

Primary Telephone Number (mobile)

Secondary Telephone Number (landline--optional)

Name of Authorised Signatory

Name of Other Authorised Signatory (if applicable)

Name of Additional Authorised Signatories (if applicable)

OWNERSHIP / CONTROL STRUCTURE

Full Name Date of Birth (day/month/year)

Postal Address Personal ID / Passport Number

City/Zip Code Country Nationality

E-mail Address Mobile Phone Number

Number of Shares or Voting Rights Expressed in % or Other Information in Relation to Ownership or Control of Entity

Countries of Tax Residence and Respective TIN Numbers (for the beneficial owners only)

Are you a politically exposed person (PEP)?

Yes No

Are you connected to a PEP? (see Definitions & Explanations)

Yes No

Role in the Corporate Structure

Beneficial owner Board of directors Board of management Authorised dealer

Full Name (for additional person of authority—if relevant) Date of Birth (day/month/year)

Postal Address Personal ID / Passport Number

City/Zip Code Country Nationality

E-mail Address Mobile Phone Number

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PURPOSE AND SCOPE OF CLIENT RELATIONSHIP

How much do you intend to invest with ALB? (EUR)

0–5,000	100,001–200,000	500,001–750,000	2,000,001–3,000,000
5,001–10,000	200,001–300,000	750,001–1,000,000	3,000,001–4,000,000
10,001–50,000	300,001–400,000	1,000,001–1,500,000	4,000,001–5,000,000
50,001–100,000	400,001–500,000	1,500,001–2,000,000	5,000,001+

What is approximately your level of investable assets? (EUR)

0–5,000	50,001–250,000	500,001–1,000,000	1,500,001–5,000,000
5,001–50,000	250,001–500,000	1,000,001–1,500,000	5,000,001+

Source of Funds

Inter-company payments	Dividends, administration fees etc. from other companies (<i>group, associated or others</i>)		
Operating cash flow	Income from ongoing operations	Loans/credit (<i>pls specify source below</i>)	

Cash injections/new equity (*pls specify source below*)

Other (*pls specify below*)

Purpose of Business (pls provide a brief business description, nature and extent of the business, products and services etc)

What is your purpose for applying for an account at ALB?

Capital preservation/hedging (*minimise the potential for any loss of principal*)

Growth (*increase investment value over time while accepting price fluctuations*)

Speculation (*assume the highest degree of risk for potentially higher returns*)

Requested Account Currency

EUR USD GBP CHF

Introducing Broker Name (if relevant)

FATCA STATUS STATUTORY DECLARATION

DISCLAIMER: This Corporate Account Application Form is not intended for financial institutions neither financial license holding nor financial license exempt. Therefore a legal entity with US Foreign Account Tax Compliance Act (FATCA) status of Foreign Financial Institution (FFI) cannot make status declaration here.

Please carefully read the following definitions and explanations before providing information in this section:

Passive income is generally defined as: dividends, interest, rents, royalties, annuities & certain other forms of passive income; see Form W-8BEN-E for further definition.

Substantial U.S. owners are generally defined as: a US owner with directly or indirectly, 25 percent or more of the entity stock (by vote or value), as defined in the U.S. Treasury FATCA Regulations section 1.1473-1(b). In some jurisdictions, the threshold for reportable holdings may exceed 25 percent. For that purpose the exact percentage shareholding is needed.



On behalf of the legal entity/corporation; I/We declare our FATCA status (Chapter 4 of the US Internal Revenue Code) **to be:**
(NOTE: If the entity/corporation's FATCA Status not Non-Financial Foreign Entity (NFFE) in one of the listed forms below, the entity/corporation's FATCA Status must be declared in a separately provided Form W-8BEN-E or in a FFI declaration)

Publicly traded Non-Financial Foreign Entity (NFFE) or NFFE affiliate of publically traded Corporation

- The entity is a foreign corporation that is not a financial institution.
- The name of the entity, the stock which is regularly traded on an established securities market is *(pls state below)*

- The name of the securities market on which the stock is regularly traded is *(pls state below)*

- The ISIN number of the shares regularly traded on the securities market is *(pls state below)*

Active Non-Financial Foreign Entity (NFFE)

- The entity is a foreign corporation that is not a financial institution.
- Less than 50% of the entities gross income for the preceding income calendar year is *Passive Income*, and
- Less than 50% of the assets held by the entity are assets that produce or are held for the production of *Passive Income* *(calculated as a weighted average of the percentage of passive assets measured quarterly)*

Passive Non-Financial Foreign Entity (NFFE)

- The entity is a foreign corporation that is not a financial institution.
The entity has no substantial *U.S. owners*, or
The entity has the substantial *U.S. owners* as indicated in OWNERSHIP/CONTROL STRUCTURE part

US WITHHOLDING TAX TREATY STATEMENT

Please tick off the below declaration if you want to claim US tax treaty benefits (only for non-individual Entities/Corporates):

Company Name

Country

The company stated above meets all the provisions of the Tax Treaty between USA and the above-stated 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 *(pls choose one)*:

Subsidiary of publicly traded corp.

Publicly traded corp.

Other *(pls specify article & paragraph)*

COMMON REPORTING STANDARD (CRS) IN OECD CONTEXT

For the purpose of CRS due diligence and reporting requirements imposed on ALB, please provide the entity's CRS information

I/We declare that:

The entity's/corporation's CRS classification is identical to the FATCA status

The entity's/corporation's CRS classification is not identical to the FATCA status *(pls state entity's CRS status below)*



Only complete this section if the entity/corporation is tax resident in more/other countries than the country of registered address. Please attach a separate document if further countries of residency.

Country of Tax Residence

Tax Identification Number in that Country (TIN)

No TIN

Another Country of Tax Residence (if applicable)

Tax Identification Number in that Country (TIN)

No TIN

RISK DISCLOSURE STATEMENT

In order to comply with EU regulations, i.e. the MiFID directive, ALB provides you with the Risk Disclosure statement on complex products below.

IMPORTANT—PLEASE READ CAREFULLY

ALB LIMITED (“ALB”) believes that its customers (the “client”, “customer”, “you”, or “your”) should be aware of the risks involved in entering over-the-counter contracts for foreign currency, precious metals, and contracts for difference (CFDs) and spot foreign exchange contracts (“Spot FX”) (collectively, “OTC Contracts”). The following is a brief, non-exhaustive summary of certain significant factors and special risks you should take into account when deciding whether to trade OTC Contracts. For the avoidance of doubt, this document does not constitute a form of investment advice, nor has the character of an investment advice.

Before deciding whether to carry out a transaction in OTC Contracts, you are obliged to examine whether concluding such transactions is relevant to your investment targets and in regard to your experience, knowledge and willingness to take risks. If you have any doubts as to the essence of the functioning of financial instruments and their economic sense, you are obliged to ask ALB for an explanation.

This Statement, which constitutes an addition to the Client Agreement and the Terms of Business of ALB, does not disclose or explain all of the risks and other significant aspects involved in trading OTC Contracts. Engaging in transactions offered by ALB can carry a high risk to your capital, where there is the potential that it is lost completely. If more information on the risks involved is required please contact ALB.

In order to open and operate a trading account with ALB, you must indicate that you have read and understood this Risk Disclosure Statement (the “Statement”). Please read this Statement in its entirety and then sign below.

RISKS

1. Terms and Conditions: You have the responsibility to fully understand the trading rules and/or terms and conditions of the transactions to be undertaken and/or the Terms of Business and Client Agreement, including, but without limitation any terms describing risk factors, such as volatility, liquidity, and so on.

2. Leverage Trading: Leveraged trading in OTC Contracts carries a high level of risk and may not be suitable for everyone. Before deciding to transact in OTC Contracts, you should carefully consider your investment objectives, level of knowledge and experience and risk appetite. Most importantly, before trading, you are strongly advised to read and ensure that you understand the relevant risk disclosures and warnings contained in this Statement. There is a substantial risk that you may lose all of your initial investment. Do not invest money you cannot afford to lose. We advise you to consider whether trading leveraged products is appropriate for you in light of your own personal circumstances. We recommend that you seek independent financial advice and ensure that you fully understand all risks involved before trading. Trading through an online platform carries additional risks. Refer to our Regulation section herein.

3. Sophisticated Investments: In view of the risks, you should trade in OTC Contracts only if you understand the contracts (and contractual relationships) into which you are entering. Trading in OTC Contracts is only appropriate for sophisticated individuals and institutional investors and is not appropriate for many members of the public. You should consider whether trading is appropriate for you in light of your experience, objectives, financial resources, risk tolerance and other relevant circumstances. Transactions, that are subject to a variety of financial instruments having a diversified risk scale, are possible to be carried out via ALB’s transactional system, which is provided by ALB’s web platforms. In particular, it is possible to conclude transactions on OTC Contracts, which, due to their complex nature, should be used by clients with relevant expertise and experience or with their acceptance of the consequences of entering into such transactions. CFD and Spot FX transactions are among the riskiest types of investments and can result in large losses. Customer represents, warrants and agrees that Customer understands these risks, and is willing and able, financially or otherwise, to assume the risks of trading CFD’s and Spot FX Contracts; and that the loss of Customer’s entire account balance will not change Customer’s lifestyle.

4. Risks when trading in CFDs: CFDs are complex financial products, most of which have no set maturity date. Therefore, a CFD position matures on the date you choose



to close an existing open position. CFDs, which are leveraged products, incur a high level of risk and can result in the loss of all of your invested capital. Trading in CFDs is highly speculative and therefore is suitable only for those Clients who (a) understand and are willing to assume the economic, legal and other risks involved, (b) are financially able to assume the risk of losses up to their invested capital and (c) understand and are knowledgeable about CFDs and the underlying assets. You represent, warrant and agree that you understand these risks, are willing and able, financially and otherwise, to assume the risks of trading in CFDs. Before deciding to trade, you should ensure that you understand the risks involved and take into account your level of experience, and if necessary seek independent advice.

When trading in CFDs you need to take into account the following main risks:

a) CFDs are leveraged products; therefore, they carry a higher level of risk to your capital compared to other financial products and may result in the loss of all of your invested capital. However, it should be noted that ALB operates on a 'negative balance protection' basis; this means that you cannot lose more than your initial investment.

b) The value of CFDs may increase or decrease depending on market conditions, and the potential for profit should be balanced alongside the significant losses that may be generated over a very short period of time when trading CFDs.

c) CFD trading, unlike traditional trading, enables you to trade the markets by paying only a small fraction of the total trade value. However, this entails that a relatively small market movement may lead to a proportionately much larger movement in the value of your position.

d) You need to make sure that you have sufficient margin in your trading account, at all times, in order to maintain an open position. In addition, you need to continuously monitor any open positions in order to avoid positions being closed due to the unavailability of funds; ALB is not responsible for notifying you for any such instances.

More information relating to the use of CFDs and Spot FX and the related risks are set out in the website under the section entitled "CFD Trading", "Spot FX Trading", "Margin Requirements" and "Use of Leverage".

5. No guarantees of profit. There are no guarantees of profit nor of avoiding losses when trading in OTC Contracts. You acknowledge that you have not received any guarantees from ALB or from any of its representatives. You are aware of the risks inherent in trading OTC Contracts and are financially able to bear such risks and withstand any losses incurred.

6. Terms of OTC Contracts: The terms of each OTC Contract are set out in ALB's [Terms of Business and/or Client Agreement], which applies to every transaction you enter into with ALB, establishes the prices at which it offers to trade with you based on prices that are made or quoted to ALB by the banks, financial institutions, exchanges and counterparties with which it does business and which may not be the same as prices available from other sources. These prices depend on fluctuations in the financial markets which are outside ALB's control. Financial markets in general and these products in particular are volatile and

can move rapidly, particularly in response to news events. In addition the assets underlying CFDs are different from one another and there are specific risks for each item. These assets also differ from currencies (and different currencies also carry different risks). The past performance of an underlying asset, CFD or currency is not an indicator of future performance.

There may be instances where ALB does not receive a price in respect of certain or all underlying assets due to market disruption or closure. ALB may prohibit opening or closing a position if there is no pricing data available in respect of the underlying asset or currency. These situations involve risk for you as there may be market changes while you are unable to trade and this could adversely affect any open positions which you may have.

7. Prices are set by ALB and may be different from prices reported elsewhere. ALB will provide the prices to be used in trading and valuation of your positions in accordance with its trading policies and procedures established by ALB. As such, they may not directly correspond to real time market levels at the point in time at which the sale of options occurs.

8. Quoting Errors: Should a quoting error occur ALB is not liable for any resulting errors in account balances and reserves the right to make necessary corrections or adjustments to the relevant account. Any dispute arising from such quoting errors will be resolved on the basis of the fair market value, as determined by ALB in its sole discretion and acting in good faith, from the relevant market at the time such an error occurred. In cases where the prevailing market represents prices different from the prices ALB has posted on its screen, ALB will attempt, on a best efforts basis, to execute transactions on or close to the prevailing market prices. These prevailing market prices will be the prices, which are ultimately reflected on your statements. This may or may not adversely affect your realized and unrealized gains and losses.

9. Transactions in OTC Contracts carry a high degree of risk. The amount of initial margin is small relative to the value of the OTC Contracts so that transactions are "leveraged" or "geared". A small market movement will have a proportionally larger impact on your position and this may work against you as well as for you. The possibility exists that you could sustain a total loss of initial margin funds and any additional deposits made to maintain your position. We recommend that you familiarize yourself with CFD and currency trading with ALB using a Demo account before getting into a transaction. You are advised to refer to the "Margin Requirements" section in the website for further details on margin requirements and the relevant risks.

Risks include, without limitation, the following:

(i) it is possible to incur a loss if, after your acquisition of an investment, exchange rates change to your detriment, even if the price of the underlying currency to which the Trade relates remains unchanged; and

(ii) you may sustain a total loss of the Margin Requirement in respect of your account that you deposit with or pay to us to establish or maintain a position, and, if the market moves against you, you may be required to pay substantial additional funds at short notice, but if you fail to do so



within the required time, your investment position may be liquidated at a loss to you.

Specifically, if your margin deposit is less than required to maintain the open positions in your account, then a margin closeout will occur without warning and all your open positions will be closed. In instances where the market for an open position is not currently trading, such open position will be automatically closed at the next available market price. You are responsible for monitoring your account to avoid unexpected margin calls. To limit your losses ALB encourages you to employ such risk-reducing strategies as "stop-loss" or "stop-limit" orders, but you should be aware that market conditions may make it impossible to close out your order at the level specified.

10. Spreads: The difference between our bid price and our ask price is "Our Spread". Our Spreads are set in our absolute discretion, since we are acting as market maker, and any changes are effective immediately. Information in relation to Our Spread, Leverage, Rollover Fees and Trading Hours for each market is stated in CFD Trading Conditions and FX Trading Conditions pages of ALB's website.

At ALB's discretion, including during weekends, illiquid hours and periods of low volume trading, Our Spreads increase. This will impact trade prices as well as the value of open positions. It is your responsibility to ensure you have adequate funds in your account to prevent a margin close-out. To avoid margin closeouts, reduce the margin you are using by closing some trades, adding more funds or reducing your leverage. To prevent unwanted order execution, adjust your take profit/stop loss to account for market conditions.

11. Weekend Risk: Various situations may arise over a weekend (Friday from [10:00 PM GMT] till Sunday at [10:00 PM GMT]), or during a holiday when the financial markets generally close for trading, that may cause the markets to open at a significantly different price from where they closed. You will not be able to use ALB's trading system to place or change orders over the weekend, on market holidays or/and at other times when the markets are generally closed. There is a substantial risk that stop-loss orders left to protect open positions held during these periods will be executed at levels significantly worse than their specified price.

12. Internet Risks: There are also risks associated with using an internet-based trade execution software application including, but not limited to, the failure of hardware, software and internet connection. ALB does not control signal power, reception, routing via the internet, network latency, configuration of your equipment or the reliability of your connection to the internet. The result of any failure of the foregoing may be that your order is either not executed according to your instructions, is executed at a price that differs from the one shown or is not executed at all. ALB is not responsible for communication failures or delays. ALB employs backup systems and contingency plans to minimize the possibility of system failure. Trading via telephone is always available in case of system/technical malfunction.

13. Catastrophic Risk: There is a risk that a catastrophic failure of ALB's internal systems could result in

the loss of data recording individual account balances. ALB mitigates this risk by the frequent backup of data, by maintaining backup systems and through contingency plans to minimise the possibility of system failure.

14. Negative Balance Protection: This provider protects retail clients so as to ensure that their maximum losses from trading CFDs, including all related costs are limited to the funds related to trading CFDs that are in the retail client's CFD trading account. This includes any funds yet to be paid into the account due to net profits from the closure of open CFDs connected to the account. Retail clients shall not incur any additional liability connected with their trading of CFDs. The aim of negative balance protection is to ensure that retail clients are protected in exceptional circumstances where there is a price change in the underlying that is sufficiently large and sudden, so that this provider is not required to close out the retail client's position as required by the margin close-out protection, such that the retail client ends up with a negative account value. This is because large market events may prevent the automatic margin close-out protection from being effective. Where a retail client's account also includes other financial instruments, only the funds explicitly dedicated to CFD trading and not those dedicated to other financial instruments are at risk.

15. Content of website: The content on the website is subject to change at any time without notice, and is provided for the sole purpose of assisting clients to make independent investment decisions. ALB has taken reasonable measures to ensure the accuracy of the information on the website, however, does not guarantee its accuracy, and will not accept liability for any loss or damage which may arise directly or indirectly from the content or your inability to access the website, for any delay in or failure of the transmission or the receipt of any instruction or notifications sent through this website.

16. Restrictions: This website is not intended for distribution, or use by, any person in any country where such distribution or use would be contrary to local law or regulation. None of the services or investments referred to in this website are available to persons residing in any country where the provision of such services or investments would be contrary to local law or regulation. It is the responsibility of visitors to this website to ascertain the terms of and comply with any local law or regulation to which they are subject.

17. ALB is not an adviser or a fiduciary to customer. In entering into OTC Contracts you should understand that ALB is acting solely in the capacity of an arm's length contractual counterparty to you and not in the capacity of your financial advisor or fiduciary. Accordingly, you should not regard any information, proposal, suggested trade or trading strategy or other written materials or oral communications from ALB as investment recommendations or advice or as expressing ALB's views as to whether a particular transaction is appropriate for you or meets your financial objectives.

18. Rights and Obligations when ALB deals on own account: When you enter into an OTC Contract with ALB, you will be entering into a privately negotiated con-



tract with ALB as principal. This means that ALB acts as the seller when you buy and the buyer when you sell. OTC Contracts are not transferrable to other providers, and must be closed with ALB. OTC Contracts are not executed on an exchange and are not cleared on a central clearing organisation. They are obligations of ALB and you may not be afforded all of the regulatory and financial protections offered by exchange-traded contracts. Both you and ALB are obliged to perform your respective obligations under each transaction in accordance with its terms. You have no rights or obligations in respect of the underlying instruments or assets relating to the CFDs.

19. Conflicts of Interest: ALB is the counterparty to all transactions entered into under the [Terms of Business / Client Agreement] and, as such, ALB's interests may be in conflict with your interests. The Conflicts of Interest Policy of ALB is available on ALB's website.

20. Trading Platform: Although the trade platform is available 24/5, not all products are available for trading at all times. Please consult the ALB's website for specific trading times for each product.

21. Telephone Orders and Immediate Execution: Market orders executed over the telephone through ALB's Trading Department are completed when ALB's telephone operator says "deal" or "done" following your placing of an order. Upon such confirmation of the telephone operator, you would have bought or sold and cannot cancel the order. By placing orders through the ALB's Trading Department, you agree to such immediate execution and accept the risk of this immediate execution feature.

22. Costs: Prior to investing in CFDs you need to be aware of any costs involved, such as spread(s), commission(s) and swap(s). For the purposes of this Statement, a swap means the interest added or deducted for holding a position open overnight. Before you begin to trade, you should obtain from us details of all commissions and other charges for which you will be liable. These charges will affect your net profit or loss.

23. Clients' Money: All cash that ALB holds belonging to you will be held by ALB as client money in accordance with the MFSA's Client Money Rules and will be held in a segregated account with an approved bank. Details of approved banks will be identified on the website of ALB. ALB will take reasonable care in the selection and continued use of such bank to hold your money but, subject to [Customer Agreement/Terms of Business], ALB will not be responsible to you in the event of that bank's default or the bank's errors or other omissions. ALB cannot ensure that you would not lose any money if the approved bank enters administration, liquidation or a similar procedure.

If the approved bank is unable to repay all of its creditors, your client money would be pooled with that of ALB's other customers with that entity and any shortfall would be borne by all the customers of that pool proportionately to each one's respective interest, entitlement and share in the account balance. The likelihood of any shortfall may be affected by whose rights have priority upon insolvency and the operations of the applicable compensation scheme. In the event of ALB's administration or insolvency, however, your money will be subject to the Client Money Rules, so

you will be entitled to share in any distribution under the Client Money Rules. In these circumstances, your money will be protected.

24. Investor Compensation Scheme: ALB participates in the Investor Compensation Fund for clients of Investment Firms regulated by the MFSA. Customers will be entitled to compensation under the Investor Compensation Fund in the event that ALB is unable to meet its duties and obligations arising from your claim, save where customers are themselves caught by the exclusions under applicable regulations. Any compensation provided to you by the Investor Compensation Fund shall not exceed twenty thousand Euro (€20.000). This applies to your aggregate claims against us.

25. Other risks:

Internet Trading: When you trade online (via the internet), ALB shall not be liable for any claims, losses, damages, costs or expenses, caused, directly or indirectly, by any malfunction or failure of any transmission, communication system, computer facility or trading software, whether belonging to you, ALB, any exchange or any settlement or clearing system.

Telephone Orders: ALB is not responsible for disruption, failure or malfunction of telephone facilities and does not guarantee its telephone availability. For the avoidance of doubt, you acknowledge and accept that you are aware that ALB may not be reachable by telephone at all times and only in limited circumstances and thus you are primarily expected to place your orders through online access to ALB's Trading Platform.

Market Conditions: You acknowledge that under abnormal market conditions the period during which the instructions and requests are executed may be extended. ALB will not be responsible for any losses arising out of the delay in the execution of such instructions and requests. Furthermore, due to market conditions which may cause any unusual and rapid market price fluctuations, or other circumstances, ALB may be unable to close out your position at the price which you specified and the risk controls imposed by ALB might not work. You agree that ALB will bear no liability for a failure to do so.

Communication: ALB is not responsible for any financial loss caused as a result of delayed or unreceived notices.

You acknowledge that the unencrypted information transmitted by email is not protected from any unauthorized access. ALB is not responsible in respect of any unreceived or unread internal messages sent to you through the trading platform(s) as they are automatically deleted if not received or read within [[3] ([three]) calendar days].

You are solely responsible for the privacy of any information received from ALB. ALB has no responsibility regarding any loss as a result of authorized/unauthorized access to all information between ALB and you by third persons.

Force Majeure Event: In case of a force majeure event you shall accept the risk of financial losses.

Taxes: You shall make sure that investing in CFDs is not subject to tax and/or any other duty in your jurisdiction. You are responsible for any taxes and/or any other duty which may accrue in respect of your trades.



DEFINITIONS AND EXPLANATIONS

Before completing the form, make sure you have read and understood all information regarding your ALB trading account.

BENEFICIAL OWNERSHIP

Corporations:

- Individuals, who ultimately own or control a corporation, by direct or indirect ownership, or control of 25% or more of the shares or voting rights.
- Individuals who otherwise exercise control over the management of a corporation.

Funds/Trusts:

- Individuals who, according to the articles of a fund/trust or otherwise, are entitled to receive 25% or more of the distribution funds or other assets of a fund or a similar legal arrangement, provided such persons are known.
- The group of persons in whose main interest a fund/trust or similar legal arrangement has been set up or operates.
- Individuals who exercise control over 25% or more of the distribution funds or other assets of a fund/trust or similar legal arrangement or entity.

TAX TREATY CLAIMS

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 your responsibility to ensure that such provisions are met. Please consult with your tax advisor on treaty benefit issues.

LEGAL ENTITY IDENTIFIER

Note: LEI is a unique 20-character alphanumeric code required to trade and report derivative contracts within the European Economic Area (EEA), cf. Regulation (EU) no 648/2012 of the European Parliament and of the Council of 4 July 2012 on OTC derivatives, central counterparties and trade repositories (EMIR). LEI codes are issued by EU endorsed Local Operating Units (LOUs). A list of endorsed LOUs is available at: http://www.leiroc.org/publications/gls/lou_20131003_2.pdf

NACE CODE

NACE code must contain a letter and a combination of numbers (example: A01.64). In order to comply with the reporting requirements of the European Banking Authority (EBA), all clients must provide a NACE code to designate their main economic activity. NACE codes were established with regulation (EC) No 1893/2006 and provide the framework for collecting and presenting statistical data according to economic activity. NACE is comparable to ISIC under UN auspices, and Standard Industrial Classification (SIC) in the United States under the purview of the Bureau of Labor Statistics. A full list of NACE codes can be found at: <http://ec.europa.eu/eurostat/>

ramon/nomenclatures/index.cfm?TargetUrl=LST_NOM_DTL&StrNom=NACE_REV2&StrLanguageCode=E

VAT NUMBER

The VAT number supplied must be verifiable through the EU Commission site http://ec.europa.eu/taxation_customs/vies/vatRequest.html If you have an EU VAT number which is not verifiable please contact your local authorities. Please inform ALB to update your EU VAT number once the VAT number can be verified. ALB is obliged to apply the standard Danish VAT rate of 25% liable services until a verifiable VAT number has been submitted.

POLITICALLY EXPOSED PERSON (PEP)

PEP means a natural person who is or who has been entrusted with prominent public functions and includes (no public function referred to in these points shall be understood as covering middle-ranking or more junior officials):

- heads of state, heads of government, ministers and deputy or assistant ministers;
- members of parliament or of similar legislative bodies;
- members of the governing bodies of political parties;
- members of supreme courts, of constitutional courts or of other high-level judicial bodies, the decisions of which are not subject to further appeal, except in exceptional circumstances;
- members of courts of auditors or of the boards of central banks;
- ambassadors, chargés d'affaires and high-ranking officers in the armed forces;
- members of the administrative, management or supervisory bodies of state-owned enterprises;
- directors, deputy directors and members of the board or equivalent function of an international organisation.

CONNECTED TO A POLITICALLY EXPOSED PERSON

Connected to a PEP means family members and close associates. Family members include:

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

Persons known to be close associates means:

- 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;
- natural persons who have sole beneficial ownership of a legal entity or legal arrangement which is known to have been set up for the de facto benefit of a politically exposed person.



CLIENT CLASSIFICATION

In accordance with the MiFID Directive, ALB is under an obligation to segment and classify its clients into three categories: Retail, Professional and Eligible Counterparty. All clients will, as a point of departure, be classified as Retail Clients, in order to grant them the highest level of regulatory protection. However, if you feel that this initial classification does not reflect your current level of knowledge and experience in certain (or the entire range of) investment and hedge products, you may select another classification by contacting your Account Manager.

PERSONAL INFORMATION

Personal information is any information related to an identified or identifiable person including but not limited to name, personal identification number, address etc. as well as account information, entries, investments etc. submitted when registering as a client or later.

INFORMATION ON THE INVESTOR COMPENSATION SCHEME (ICS)

Basic information about the coverage of clients:

ALB is covered by the ICS. It is required that new customers are provided with the following information about the coverage of clients:

Deposits in ALB are covered by: ICS

Limit of coverage: Up to %90 of the net loss subject to a maximum of €20,000

Contact: c/o Malta Financial Services Authority, Notabile Road, Attard BKR3000, Malta | +356 2144 1155 | +356 2144 1195 | info@compensationschemes.org.mt

Further information: www.compensationschemes.org.mt

REQUIRED DOCUMENTATION

To comply with Prevention of Money Laundering Act (Cap 373 of the Laws of Malta) as well as to comply with tax legislation, ALB is required by law to obtain the following documentation. ALB also reserves the right to request further documentation at any time during the approval process.

DOCUMENTATION OF THE OWNERSHIP STRUCTURE (cf. A or B):

Any significant change in ownership structure must immediately be notified to ALB.

A. One or more of the documents listed, which proves the ownership structure:

- Transcript of company register or similar
- Group chart including ownership structure (signed)
- Shareholders register (signed)
- Most recent audited annual accounts
- Any shareholders agreements (if containing information about the actual ownership structure)
- Any pledge agreements (if such agreement exists)
- Trust deed

B. Legal letter, confirming the ownership and control structure:

- The document should be issued or certified by an external lawyer or accountant, which is licensed in the country where the corporation is incorporated.

CORPORATE DOCUMENTATION

- Transcript from local Commerce or Certificate of Incorporation
- Signed Articles of Association
- Documentation of who can sign on behalf of the corporate entity (authorized signatories)
- Official Proof of Identity (as defined under section titled INDIVIDUAL DOCUMENTATION) for all authorized signatories
- Official Proof of Identity and Proof of Residential Address (as defined under section titled INDIVIDUAL DOCUMENTATION) for all Beneficial Owners listed in section titled OWNERSHIP/CONTROL STRUCTURE
- Supporting documentation of the ownership structure (further defined in sections titled OWNERSHIP/CONTROL STRUCTURE, CORPORATE DOCUMENTATION and INDIVIDUAL DOCUMENTATION)
- Documentation of VAT number or of not VAT eligible.

INDIVIDUAL DOCUMENTATION

Proof of Identity

Identity documents must be current and valid, issued by official government authority and must include the following:

- full name
- unique personal identification number
- date and place of birth
- clear visible picture which identifies the person
- signature.

Types of acceptable documents required for proof of identity:

- Passport (identification & signature page required)
- Driver's license
- Official government ID / national identity card

Proof of Residential Address

This document must be valid and include the current residential address of the holder and be issued by an official government authority.

Types of acceptable documents required for proof of residential address:

- Utility bill not older than 3 months
- Bank or credit card statement
- Official government ID / national identity card showing residential address (if not used for proof of identity)
- Government issued insurance or medical card

To obtain the most up to date documentation requirements regarding your country please contact ALB at +356 2371 6000.



I declare under penalties of perjury that the information given in this form to the best of my knowledge is true, correct and complete.

I further certify under penalties of perjury that:

- The entity identified is not a US person;
- The income to which this form relates is: (a) not connected with the conduct of a trade or business in the United States, (b) connected but is not subject to tax under an income tax treaty, or (c) the partner's share of a partnership's effectively connected income;
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person. A foreign person includes a foreign corporation, a foreign partnership, a foreign trust, a foreign estate, and any other person that is not a U.S. person. It also includes a foreign branch or office of a U.S. financial institution or U.S. clearing organization if the foreign branch is a qualified intermediary (QI). Generally, a payment to a U.S. branch of a foreign person is a payment to a foreign person;
- To have received satisfactory answers to all my/our questions regarding the terms, conditions and other issues relating to the relevant products; and
- That the FATCA status as declared in this Client Application Form is accurate, complete and up to date. To have the obligation to notify ALB immediately should our FATCA status change.

I/We also declare by my/our signature(s):

By accepting this agreement the Client enters into a binding legal agreement with the Company. The Agreement shall commence once the prospective Client receives an email that contains the trading account number and certain documents; namely

- Order Execution Policy,
- Client Categorization,
- Conflict of Interest Policy,
- Investor Compensation Fund, and
- Risk Disclosure Policy,

each of which document shall form an integral part of this Agreement.

Furthermore I/we confirm:

- That the information provided by me/us and inserted in this form is correct and that I/we acknowledge that I/we shall be obliged to inform ALB immediately in case of any changes to this information;
- That the investment amount has been chosen by me/us taking our total financial circumstances into consideration and is by me/us considered reasonable under such circumstances;

I/We acknowledge and consent that personal information submitted by me/us to ALB:

- May be shared with any Introducing Broker for the purpose of completing the due diligence and approving my/our application in case I have appointed such Introducing Broker;
- May be used to undertake a search with a 3rd party authentication service provider for the purposes of verifying my identity. To do so the 3rd party authentication service provider may check the details I/we supply against any particulars on any database (public or otherwise) to which they have access. They may also use my/our details in the future to assist other companies for verification purposes. A record of the search will be retained;
- The information may be disclosed for the purposes of meeting regulatory requirements (including in pursuance of the Prevention of Money Laundering Act), but also for conducting risk management, providing and executing investment advice, investment services, assistance with client inquiries and for general administration purposes, in order for ALB to offer its 24/7 service to the client;
- May be disclosed to other companies in the ALB Group.
- May be shared with a third party agency working on behalf of ALB Group with the purpose of performing client analysis for the use of ALB Group's sale and marketing.



SIGNATURES

ON BEHALF OF THE LEGAL ENTITY/CORPORATION:

I/We declare that it acts in its own name as specified above and not on behalf of a third party in respect of all matters related to this client relationship and that accordingly all funds to be deposited and traded on the account with ALB are its own funds.

I/We hereby declare that I/we have read and understood the Risk Disclosure statement on complex products.

I/We hereby agree to and acknowledge that companies in the ALB Group may provide me with marketing material regarding investments and related services, including new products and services offered by the ALB Group, and newsletters, market updates and investment opportunities by e-mail, sms, regular mail or telephone (MARKETING CONSENT).

I/We certify that I/we have authorization to sign on behalf of the corporate entity.

Printed Name

Printed Name

Dated (day/month/year)

Dated (day/month/year)

Signature

Signature

