**THE APPLICATION (FILE) OF THE MEMBER - LEGAL ENTITY**

**Part 1. General information**

|  |  |
| --- | --- |
| Full Legal Name |  |
| Registered Name/Short Name |  |
| Legal form/Structure |  |
| Business Identification Number (BIN)/Tax Identification Number (TIN) (or equivalent) |  |
| Date of Incorporation/Establishment |  |
| Country of Incorporation |  |
| Country of Business (If different) |  |

|  |  |
| --- | --- |
| Registered Address | |
| Country | City/Town | Street/ District | Building | Office/Apartment | |  |
| Business Address (*if different from Registered Address*) | |
| Country | City/Town | Street/ District | Building | Office/Apartment | |  |

|  |  |
| --- | --- |
| Contact details |  |
| telephone |  |
| e-mail |  |
| website |  |

|  |
| --- |
| Please provide information on purpose and intended nature of the business relationship  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

|  |  |
| --- | --- |
| Scope of business activities carried out by Member | |
| Industry sector |  |
| Products or Service provided |  |

***Regulation/License details***

|  |  |
| --- | --- |
| License number |  |
| Name of authority that issued license |  |
| Date of issue |  |
| Date of expiry |  |
| Scope of licensed activities |  |

***For Recognised Non-AIFC Members (RNAM), Recognised Non-AIFC Market Institutions (RNAMI) or a***[***Foreign Fund Manager***](https://orderly.myafsa.com/articles/1.5.-foreign-fund-managers?search=foreign%20fund%20managers)***s***

|  |  |
| --- | --- |
| Recognition order number |  |
| Recognition order date |  |

**Part 2. Control structure & ownership information**

***Ownership Information (any person who owns 10 percent or more of the total combined voting power of all classes of stock of such corporation entitled to vote, or in the case of an obligation issued by a partnership, any person who owns 10 percent or more of the capital or profits interest in such partnership)***

Shareholder legal person

|  |  |
| --- | --- |
| Full Name |  |
| Ownership % |  |
| Date of Incorporation |  |
| Country of Incorporation |  |
| Country of Business (if different from Incorporation) |  |
| Business Identification Number (BIN)/Tax Identification Number (TIN) (or equivalent) |  |
| Registered Address  | Country | City/Town | Street/ District | Building | Office/Apartment | |  |
| Business Address (if different from Registered Address)  | Country | City/Town | Street/ District | Building | Office/Apartment | |  |

Shareholder Individual

|  |  |
| --- | --- |
| First Name |  |
| Surname |  |
| Middle Name (if applicable) |  |
| Ownership % |  |
| Nationality |  |
| Date of Birth |  |
| Registered Address  | Country | City/Town | Street/ District | Building | Office/Apartment | |  |
| Residential Address (if different from Registered Address)  | Country | City/Town | Street/ District | Building | Office/Apartment | |  |
| Individual Identification Number (IIN)/Tax Identification Number (TIN) (or equivalent) |  |
| Passport, ID or another similar document details (Number, Issued authority, expire date) |  |

***Beneficial Owner details***

|  |
| --- |
| *Beneficial owner a* ***natural person*** *who, directly or indirectly, owns or controls at least 25% of the shares, participation interest or voting rights of the legal person; or a natural person who, directly or indirectly, otherwise exercises control over the legal person's management.* |

Please provide details on Beneficial Owner (-s).

Alternatively, please confirm that

|  |
| --- |
| There are no individuals who ultimately own, directly or indirectly (have a majority equity stake of more than 25 per cent in the legal person’s capital), or control, directly or indirectly, the legal person’s actions |

Beneficial Owner information

|  |  |
| --- | --- |
| First Name |  |
| Surname |  |
| Middle Name (if applicable) |  |
| Effective Ownership % in Entity |  |
| Nationality |  |
| Date of Birth |  |
| Registered Address  | Country | City/Town | Street/ District | Building | Office/Apartment | |  |
| Residential Address (if different from Registered Address)  | Country | City/Town | Street/ District | Building | Office/Apartment | |  |
| Individual Identification Number (IIN)/Tax Identification Number (TIN) (or equivalent) |  |
| Passport, ID or another similar document details (Number, Issued authority, expire date) |  |

***Chief Executive Officer/General Director/President***

Provide details of head person responsible for managing Company day-to-day activity

|  |  |
| --- | --- |
| First Name |  |
| Surname |  |
| Middle Name (if applicable) |  |
| Nationality |  |
| Date of Birth |  |
| Registered Address  | Country | City/Town | Street/ District | Building | Office/Apartment | |  |
| Residential Address (if different from Registered Address)  | Country | City/Town | Street/ District | Building | Office/Apartment | |  |
| Individual Identification Number (IIN)/Tax Identification Number (TIN) (or equivalent) |  |
| Passport, ID or another similar document details (Number, Issued authority, expire date) |  |

***Board of Directors/Management Board (if applicable)***

Provide details of key persons for each Director/Member

|  |  |
| --- | --- |
| First Name |  |
| Surname |  |
| Middle Name (if applicable) |  |
| Position |  |
| Nationality |  |
| Date of Birth |  |
| Registered Address  | Country | City/Town | Street/ District | Building | Office/Apartment | |  |
| Residential Address (if different from Registered Address)  | Country | City/Town | Street/ District | Building | Office/Apartment | |  |
| Individual Identification Number (IIN)/Tax Identification Number (TIN) (or equivalent) |  |
| Passport, ID or another similar document details (Number, Issued authority, expire date) |  |

***Representative (persons holding PoA) (if applicable)***

Provide details of representative (Individual)

|  |  |
| --- | --- |
| First Name |  |
| Surname |  |
| Middle Name (if applicable) |  |
| Position |  |
| Nationality |  |
| Date of Birth |  |
| Registered Address  | Country | City/Town | Street/ District | Building | Office/Apartment | |  |
| Residential Address (if different from Registered Address)  | Country | City/Town | Street/ District | Building | Office/Apartment | |  |
| Individual Identification Number (IIN)/Tax Identification Number (TIN) (or equivalent) |  |
| Passport, ID or another similar document details (Number, Issued authority, expire date) |  |
| Document that empowers to act on behalf of Company;  Name, date of issue, expiry date, number of the document |  |

Provide details of representative (legal person)

|  |  |
| --- | --- |
| Full Name |  |
| Date of Incorporation |  |
| Country of Incorporation |  |
| Country of Business (if different from Incorporation) |  |
| Business Identification Number (BIN)/Tax Identification Number (TIN) (or equivalent) |  |
| Registered Address  | Country | City/Town | Street/ District | Building | Office/Apartment | |  |
| Business Address (if different from Registered Address)  | Country | City/Town | Street/ District | Building | Office/Apartment | |  |
| Document that empowers to act on behalf of Company;  Name, date of issue, expiry date, number of the document |  |

***Politically Exposed Persons (PEPs)***

|  |
| --- |
| *Politically Exposed Persons (PEPs) a natural person (including a family member or known associate) who is or has been entrusted with a prominent public function, including but not limited to: a head of state or of government, senior politician, member of a legislative or constitutional assembly, senior government official, senior judicial official, senior military officer, ambassador, senior person in an international organisation, senior executive of a state-owned entity, a senior political party official, or an individual who has been entrusted with similar functions such as a director or a deputy director; at an international, national, or regional level. This definition does not include middle-ranking or more junior individuals in the above categories;* |

Are there any director(-s), beneficial owner(-s), representative(-s) or senior manager(-s) classified as PEP?

|  |  |  |
| --- | --- | --- |
|  | Yes | No |
| Beneficial owners |  |  |
| CEO/General Director/President |  |  |
| Board of Directors/Management Board |  |  |
| Representative |  |  |

If Yes, please specify details of PEP status:

|  |
| --- |
| Grounds for PEP status:  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Provide information on source of funds (include in Member’s capital, if applicable):  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

**Part 3. Financial background**

Please provide information on legal person’s origin of funds and/or other assets

|  |
| --- |
| operating revenue  raising loans and/or credits  financial assistance from the founders (members/shareholders etc.)  other (please specify) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

Please provide financial details

|  |  |
| --- | --- |
| Total assets |  |
| Annual income and annual expenses |  |
| Anticipated account turnover and nature of the transactions |  |

**Part 4. Other information**

|  |  |
| --- | --- |
| Is Member subject for Tax regulation in USA? | Yes  No |
| If Yes, please provide TIN  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| In case the Trading Account will be opened with Settlement Depositary, please note the purpose of establishing business relations with Settlement Depositary | settlement and cash services |
| operations with securities |
| other  please specify \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

I confirm on behalf of the Member that the information given in this application is complete and correct. I undertake to immediately inform the ITS Ltd. in writing of any changes in the information provided.

|  |  |  |  |
| --- | --- | --- | --- |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |  | | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| (*Member’s representative full name*) | |  | (*signature*) |

\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_ *20*\_\_\_. L.S.

(*date*)