



Opening form
for Corporate Clients

December 2022

thalex

**Better products.
Better execution.
Better trading.**



Step 1

Company information

Statutory name

(Trading name(s),
if different name)

Type of legal entity

(Limited company, listed
company, (limited) partnership,
trust, other)

Registration or
incorporation number

Registered Business address

Street address

Postal code

City

Country

Company
website (If
available)



Step 2

Ultimate Beneficial Owner

First name _____

Last name _____

Date of birth _____ - _____ - _____ (dd - mm - yyyy)

First name _____

Last name _____

Date of birth _____ - _____ - _____ (dd - mm - yyyy)

First name _____

Last name _____

Date of birth _____ - _____ - _____ (dd - mm - yyyy)

First name _____

Last name _____

Date of birth _____ - _____ - _____ (dd - mm - yyyy)

Yes No

Are or were any of the directors or UBOs politically exposed persons?
(E.g., are or were they government, political or senior military officials or officials with a prominent public function, or relatives or associates of such officials?)

Note: the UBO(s) is usually every natural person who directly or indirectly holds 25% or more shares or voting rights in the legal entity (noting that several natural persons may qualify as UBO).

Please contact us at : support@thalex.com if you have any questions.



Step 3

Contact person details

First name _____

Last name _____

Telegram user _____

Email address _____

Mobile number _____



Step 4

Additional questions

1 Please indicate the primary reason why you would to trade with us – please choose one of the following:

- Day trading – buying and selling derivatives within the same trading day
- Speculation – speculating on a rise or fall in the value of the underlying
- Hedging – reducing your portfolio's risk exposure
- Asset management – trading derivatives as part of a portfolio management strategy
- Other

2 Nature of business activities – please choose one of the following:

- Asset manager
- Quantitative trader
- Bank
- (Institutional) Broker
- Market maker
- Crypto exchange
- Pension fund
- Hedge fund
- Family office
- Other finance
- Gambling
- Crypto mining
- Other (please provide details of the nature of your business)

3 Estimated yearly trading volume – please choose one of the following:

- <\$50K
- \$50K - <\$500K
- \$500K - <\$5M
- \$5M - <\$10M
- \$10M - <\$50M
- >\$50M

4 Do you intend to trade on Thalex via our API?

- Yes
- No



Step 5

Documents

Please send these documents to Thalex. The following documentation should be provided in Dutch or English (if any of the documents are in another language, a translated version in English should be provided as well).

- 1. Certificate of incorporation**
- 2. Articles of Association and Memorandum**
Or similar documents E.g. by-laws or constitution or, for partnerships, partnership agreement
- 3. Certificate of Incumbency or corporate registry extract**
Showing current details of the legal entity, such as the registered address, directors, and shareholders.
- 4. Shareholders' register**
Or for partnerships an overview of (limited and general) partners.
- 5. Corporate structure chart**
This chart must also show the UBO(s).
- 6. Directors' register**
If available for the company.
- 7. Bank statement**
Please make sure it's dated within the last three months.
- 8. Copy of ID**
Please send a copy of a passport or ID for:
 - Active directors or, for a partnership; at least two partners.
 - UBO(s)
 - Any individual not in the above group who has the ability to control the investment E.g. operators (if applicable), and
 - The person opening the account on behalf the legal entity (if not a person covered by one of the above.)
- 9. Proof of address**
Please send a copy of proof of address dated within the last three months for:
 - Active directors or, for a partnership, at least two partners.
 - UBO(s)
 - Any individual not in the above group who has the ability to control the investment E.g. operators (if applicable), and
 - The person opening the account on behalf the legal entity (if not a person covered by one of the above).



Step 5

Documents (cont.)

10. Proof of authorisation

Proof of authorisation of the person opening the account on behalf of the legal entity i.e., board resolution or letter of authorisation executed by the legal entity directors or, if the legal entity is represented by a director, proof that such director is authorised to represent the legal entity.

11. Selfie and ID

- A selfie of the person opening the account on behalf of the legal entity, showing that person's passport or ID and face in the same picture on behalf of the legal entity.
- The signature, name, and identity should be readable.
- Make sure the picture is of good quality and in colour.



12. Proof of UBO

Please provide proof that the person(s) indicated in Step 2 as UBO(s) qualifies/qualify as UBO(s).

13. Signed "Excluded Jurisdictions Statement"

Please see attached Annex I form to be signed.

14. Information on source of wealth and source of funds

Please provide information on the source of funds and the source of wealth of the directors, UBOs and, where relevant, individuals with control of the account. This information should enable Thalex to plausibly verify such persons' source of wealth and funds.

- I acknowledge and confirm to have read, understood and agree to be bound by the [Terms of Use](#), [Rulebook](#), [Privacy and Cookie Policy](#) and [Risk Disclosure Statement](#).



Annex I

Statement regarding Excluded Jurisdictions

Statement Excluded Jurisdictions

In accordance with our Terms of Use, you are not allowed to use our services within any of the jurisdictions in the list below (the "Excluded Jurisdictions"). We kindly ask you to (e-)sign the declaration below on behalf of the legal entity for which you wish to open a corporate account (the "Company") and upload this document as part of the onboarding process.

Excluded Jurisdictions

- Afghanistan
- China
- Cuba
- Democratic People's Republic of Korea
- Ontario (Canada)
- Guam
- Iran
- Iraq
- Japan
- Myanmar
- Puerto Rico
- Samoa
- Somalia
- Sudan
- Syrian Arab Republic
- The self-proclaimed Republic of Crimea, Donetsk People's Republic and Luhansk People's Republic
- United States
- Virgin Islands (U.S.)



Annex I

Statement regarding Excluded Jurisdictions | Declaration

Declaration

I hereby declare that the principal place of business of the Company is not in any of the Excluded Jurisdictions, and no transactions (deposits, withdrawals, orders & trades) in the Thalex account of the Company take place in or to any of the Excluded Jurisdictions.

Company name _____

Name authorized signatory _____

Title _____

Email address _____

Date _____ - _____ - _____ (dd - mm - yyyy)

(E-)Signature

[Thalex](#)

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