



# Account Opening Form

## Corporate Clients & Legal Entities

January 2025

By completing, signing and submitting this Form, you agree to have read, understood and to bind the "Entity" ("you") to the latest online versions of the [Privacy Policy](#), the [Terms of Use](#), the [Rulebook](#) and the [Risk Disclosure Statement](#), as amended and updated from time to time. It should be noted that you may be requested to submit supporting documentation and additional information that allows Thalex to discharge its AML & CDD obligations, and that Thalex may, in its sole discretion, accept, reject or ask for clarification in relation to any information and/or documentation provided.

If you have any queries or would like to discuss the application in detail, please feel free to contact [support@thalex.com](mailto:support@thalex.com)

**thalex**

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



## Section 1

### Entity Information & Contact Details

Statutory Name \_\_\_\_\_

Trading Name \_\_\_\_\_  
(if different)

Type of legal entity  
(Incorporated Company, Listed Company, (Limited) Partnership, Trust, other) \_\_\_\_\_

Registration Number or Incorporation number \_\_\_\_\_

Incorporation/Creation Date \_\_\_\_\_

☐ Yes ☐ No Is the Entity listed on the stock exchange or similar?

#### Registered Business Address

Street Address \_\_\_\_\_

Postal Code \_\_\_\_\_

City \_\_\_\_\_

Country \_\_\_\_\_

#### Operational Business Address

Street address \_\_\_\_\_

Postal code \_\_\_\_\_

City \_\_\_\_\_

Country \_\_\_\_\_

Primary Email address \_\_\_\_\_

Company website (If available) \_\_\_\_\_

Telegram (if available) \_\_\_\_\_

Mobile number (if available) \_\_\_\_\_



## Section 2

### Authorized Users

**Primary Contact Person /  
Authorized User**

Full name \_\_\_\_\_

Position in the Company \_\_\_\_\_

Date of Birth \_\_\_\_\_

Contact Details \_\_\_\_\_

**Additional Contact Person /  
Authorized User**

Full name \_\_\_\_\_

Position in the Company \_\_\_\_\_

Date of Birth \_\_\_\_\_

Contact Details \_\_\_\_\_

The Authorized Users designated on this Section 2 are hereby authorized by the Board of Directors, the Director (or equivalent) to operate the Account of the Entity without limitation.

Unless otherwise instructed, the Authorized Users will receive all notifications regarding events of the account, including, but not limited to, login information, trading information, trading notices, margin information, statements and other information as made available from time to time. Information may be shared via email, Telegram or phone, and you warrant to provide your most updated contact details for these purposes.

By signing this form, the Entity Director(s) indemnifies and holds Thalex harmless from any liability, loss or issue arising from the misuse of information sent by Thalex to the Authorised Users prior to any cancellation request sent by the Entity Director(s), including any trading orders, withdrawals, payments or transfers.



## Section 3

### Directors

Please list the Entity's Directors

Full name \_\_\_\_\_

Contact details \_\_\_\_\_

Country of Residence \_\_\_\_\_

Date of birth \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_ (dd - mm - yyyy)

☐ Yes ☐ No Is the Director a PEP, or has the Director been a PEP over the last 12 months?

Full name \_\_\_\_\_

Contact details \_\_\_\_\_

Country of Residence \_\_\_\_\_

Date of birth \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_ (dd - mm - yyyy)

☐ Yes ☐ No Is the Director a PEP, or has the Director been a PEP over the last 12 months?

Full name \_\_\_\_\_

Contact details \_\_\_\_\_

Country of Residence \_\_\_\_\_

Date of birth \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_ (dd - mm - yyyy)

☐ Yes ☐ No Is the Director a PEP, or has the Director been a PEP over the last 12 months?

Full name \_\_\_\_\_

Contact details \_\_\_\_\_

Country of Residence \_\_\_\_\_

Date of birth \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_ (dd - mm - yyyy)

☐ Yes ☐ No Is the Director a PEP, or has the Director been a PEP over the last 12 months?

A PEP, or a Political Exposed Person, is an individual that has been, or currently is, appointed or elected as a public official, including high military rank, directors of publicly owned companies, or holding office as a High Court Judge, Prosecutor or Public Attorney. Please note that PEP also includes close relatives or close associates.



## Section 4

### Shareholders

Please list all Shareholders, Corporate or Private, with at least 25% of shares and/or voting rights

Full name/Company Name \_\_\_\_\_

Shares held/Voting Rights \_\_\_\_\_

Country of Residence \_\_\_\_\_

Date of birth/Incorporation \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_ (dd - mm - yyyy)

☐ Yes ☐ No

Is the Shareholder or any of its Directors or UBOS, a PEP, or have they been a PEP over the last 12 months?

Full name/Company Name \_\_\_\_\_

Shares held/Voting Rights \_\_\_\_\_

Country of Residence \_\_\_\_\_

Date of birth/Incorporation \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_ (dd - mm - yyyy)

☐ Yes ☐ No

Is the Shareholder or any of its Directors or UBOS, a PEP, or have they been a PEP over the last 12 months?

Full name/Company Name \_\_\_\_\_

Shares held/Voting Rights \_\_\_\_\_

Country of Residence \_\_\_\_\_

Date of birth/Incorporation \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_ (dd - mm - yyyy)

☐ Yes ☐ No

Is the Shareholder or any of its Directors or UBOS, a PEP, or have they been a PEP over the last 12 months?

Full name/Company Name \_\_\_\_\_

Shares held/Voting Rights \_\_\_\_\_

Country of Residence \_\_\_\_\_

Date of birth/incorporation \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_ (dd - mm - yyyy)

☐ Yes ☐ No

Is the Shareholder or any of its Directors or UBOS, a PEP, or have they been a PEP over the last 12 months?



## Section 5

### Ultimate Beneficial Owners

UBO(s) are every natural person(s) who directly or indirectly hold 25% or more shares or voting rights in the legal entity (noting that several natural persons may qualify as UBO). If you are unsure who the UBOs are please contact [support@thalex.com](mailto:support@thalex.com).

Full name			
Shares held			
Country of Residence			
Date of birth	(dd - mm - yyyy)		
<input type="checkbox"/> Yes <input type="checkbox"/> No	Is the UBO a PEP, or has the UBO been a PEP over the last 12 months?		
Full name			
Shares held			
Country of Residence			
Date of birth	(dd - mm - yyyy)		
<input type="checkbox"/> Yes <input type="checkbox"/> No	Is the UBO a PEP, or has the UBO been a PEP over the last 12 months?		
Full name			
Shares held			
Country of Residence			
Date of birth	(dd - mm - yyyy)		
<input type="checkbox"/> Yes <input type="checkbox"/> No	Is the UBO a PEP, or has the UBO been a PEP over the last 12 months?		
Full name			
Shares held			
Country of Residence			
Date of birth	(dd - mm - yyyy)		
<input type="checkbox"/> Yes <input type="checkbox"/> No	Is the UBO a PEP, or has the UBO been a PEP over the last 12 months?		



## Section 6

### Additional Questions

**1 Intended Initial Deposits** – please choose one of the following:

- ☐ <\$10K
- ☐ \$10K - <\$50K
- ☐ >\$50K

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

- ☐ Asset Manager (MiFID / AIFMD)
- ☐ Quantitative trader
- ☐ Bank / Insurance
- ☐ (Institutional) Broker
- ☐ Market Maker / Broker-Dealer
- ☐ Crypto Exchange / Brokerage
- ☐ Regulated Fund
- ☐ Hedge fund
- ☐ Family office
- ☐ Other financial entity
- ☐ Gambling Company
- ☐ Crypto mining
- ☐ Other (please provide details of the nature of your business)

**3 What would best describe the Source of Funds for operating with Thalex** – please choose one of the following:

- ☐ Shareholder Contributions
- ☐ Trading/Commercial Activity
- ☐ Shareholder/Third Party Loans
- ☐ Crypto Activity (mining, staking, rewards, etc.)

**4 How has the Entity generated its income** – please choose one of the following:

- ☐ Sales of Assets
- ☐ Commercial Activity
- ☐ Crypto Yields (mining, staking, rewards, trading, etc.)
- ☐ Other (please provide details of the generation of the income)

**5 Do you intend to trade on Thalex via our API?**

- ☐ Yes
- ☐ No

- 6 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

- 7 Estimated yearly trading volume** – please choose one of the following:
- ☐ <\$50K
  - ☐ \$50K - <\$500K
  - ☐ \$500K - <\$5M
  - ☐ \$5M - <\$10M
  - ☐ \$10M - <\$50M
  - ☐ >\$50M



## Section 7

### Declaration & Warranties

I, undersigned, hereby represent, declare and warrant:

- (a) to have provided, to the best of my knowledge, accurate and completed information for the purposes of opening a trading account with Thalex, including information related to corporate structure, Directors, Shareholders and Ultimate Beneficial Owners;
- (b) to have read, understood and agree to be bound by [Terms of Use](#) and the [Rulebook](#) (as amended, updated or reviewed from time to time), and to have the necessary legal capacity to bind the Entity for the purposes of the provision of the Services;
- (c) that none of the assets used for the purposes of trading with Thalex results from criminal or illegal activities, and all such assets have been lawfully obtained;
- (d) to notify Thalex promptly in case of any corporate changes, changes of ownership or changes in corporate structure, understanding that such changes may, in some scenarios, limit my ability to trade with Thalex: and
- (e) to notify Thalex immediately in case of any of these statements are no longer valid or applicable.

**Name authorized signatory** \_\_\_\_\_

**Title** \_\_\_\_\_

**Email address** \_\_\_\_\_

**Date** \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_ (dd - mm - yyyy)

**(E-)Signature** \_\_\_\_\_







## Annex I

### Supporting Documentation

**Please send a copy of the documents below to Thalex. The following documentation should be provided in the original language and in English, as requested by Thalex.**

- 1. Certificate of Incorporation or Notarial Deed, as applicable**
- 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**  
Please provide a corporate structure chart including ownership layers and identification of Ultimate Beneficial Owners, signed by a Director.
- 6. Directors' Register**  
If available for the company.
- 7. UBO Register**  
Or equivalent register of UBOs, whether it is a public or private document. In the event your jurisdiction does not have a UBO register, please include the UBOs on the Corporate Structure Chart as per number 5
- 8. Annual Accounts or Bank statement**  
Please provide your most recent annual accounts or Bank Statement (dated within the last three months). If your source of funds is shareholder Loans or third party loans, please provide documentary evidence of the Loan and its terms of repayment
- 9. Copy of ID & Proof of Address**  
Please send a copy of a passport or ID together with a proof of address dated from at least 3 months for:  
(a) Directors and Authorized Users;  
(b) Individual Shareholders and UBOs;  
Please ensure the copies are coloured and of good quality, and include a confirmation by a company director (certification) that they are true copies of the original and/or bear resemblance to the person identified on the ID.  
In the event a Director, an Authorized User or a Shareholder (with 25% or more) being a legal entity, please note you may be asked for further information, namely a company extract and information on relevant individuals.
- 10. Signed "Excluded Jurisdictions Statement"**  
Please see attached Annex II form to be signed.
- 11. Additional Documentation for Funds, Partnerships, etc**  
Depending on your legal form, nature of business and other factors, you may be required to provide additional documentation.



## Annex II

### Excluded Jurisdictions

#### Statement of Excluded Jurisdictions

Thalex does not accept business from certain jurisdictions, in compliance with international sanctions, regulatory guidelines or proprietary risk appetite, the "Excluded Jurisdictions". In accordance with Thalex's Terms of Use, Participants are not allowed to use its Services from or within any Excluded Jurisdiction. 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 "Entity") and submit this document as part of the onboarding process. An updated list of [Excluded Jurisdictions](#) can be found here and may be updated from time to time, in line with our Terms of Use.

#### Declaration

You, undersigned, hereby declare that the incorporation jurisdiction and principal place of business of the Entity is not in any of the Excluded Jurisdictions, and no transactions (deposits, withdrawals, orders or trades) to/from your Thalex account take place from, in or to any of the Excluded Jurisdictions.

**Name authorized signatory** \_\_\_\_\_

**Title** \_\_\_\_\_

**Email address** \_\_\_\_\_

**Date** \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_ (dd - mm - yyyy)

**(E-)Signature**

### Thalex

Thalex Digital Assets Platform S.R.L.  
Provincia San José, Cantón San José, Mata Redonda,  
Barrio Las Vegas, edificio de dos pisos y azul, diagonal al  
Colegio La Salle, con rótulo Salas y Garro Abogados  
Republic of Costa Rica

support@thalex.com

**thalex.com**