

Corporate Accounts
Application Form 1.1

**All fields must be filled out. If not applicable, please indicate «N/A»*

1. Company details	
Company name:	
Trading name, if any:	
Company registration number:	
Date of incorporation:	
Country of incorporation/registration:	
Registered address:	
Postal address:	<input type="checkbox"/> Same as the registered address
LEI number:	
Email:	
Website:	
Phone number:	
Business industry (section) Provide the business section name in accordance with SIC classification .	
Please describe the company, including a summary of its activities, in your own words.	
Main country of operations:	<input type="checkbox"/> South Africa <input type="checkbox"/> Other (please indicate) _____
Source of Wealth (SoW): <i>Please indicate the origin of the entity's accumulated wealth.</i>	<input type="checkbox"/> Business profit <input type="checkbox"/> Owner/Shareholder equity <input type="checkbox"/> Property <input type="checkbox"/> Retained earnings <input type="checkbox"/> Market trading profits <input type="checkbox"/> Shareholder investments <input type="checkbox"/> Other

	Details, if needed _____
Source of Funds (SoF): <i>Please indicate the origin of the funds that will be used for trading or account funding.</i>	<input type="checkbox"/> Operating revenue/Business profit <input type="checkbox"/> Shareholder contributions <input type="checkbox"/> Loan <input type="checkbox"/> Market trading profits <input type="checkbox"/> Retained earnings <input type="checkbox"/> Other Details, if needed _____

2. Contact person (responsible person authorised to act on behalf of the company)	
Name and surname:	
Position:	
Email:	
Telephone number:	
Employment status:	<input type="checkbox"/> Employed <input type="checkbox"/> Retired <input type="checkbox"/> At-home trader <input type="checkbox"/> Student/Intern <input type="checkbox"/> Unemployed

3. Trading account	
Purpose of the trading account with BROKSTOCK:	<input type="checkbox"/> Retaining assets <input type="checkbox"/> Growing wealth <input type="checkbox"/> Hedging <input type="checkbox"/> Speculative trading <input type="checkbox"/> Diversifying portfolio <input type="checkbox"/> Protecting against financial risks <input type="checkbox"/> Exploring new investment opportunities

Planned instruments for trading:	<input type="checkbox"/> CFDs on SA Equities <input type="checkbox"/> CFDs on US Shares <input type="checkbox"/> CFDs on Currencies <input type="checkbox"/> CFDs on ETFs <input type="checkbox"/> CFDs on Metals <input type="checkbox"/> Crypto
Type of BROKSTOCK account	<input type="checkbox"/> Investment account <input type="checkbox"/> Margin account
Do you acknowledge and confirm that you understand the risks involved in trading CFDs and cryptocurrencies?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Please indicate your risk tolerance:	<input type="checkbox"/> Low Risk <input type="checkbox"/> Moderate Risk <input type="checkbox"/> High Risk
Please indicate the duration that best describes your potential investment time horizon with us:	<input type="checkbox"/> Less than 3 years <input type="checkbox"/> 3 – 5 years <input type="checkbox"/> 5 – 10 years <input type="checkbox"/> Over 10 years
Please indicate the frequency of transactions you will make with us:	<input type="checkbox"/> One-off <input type="checkbox"/> Low (occasional) <input type="checkbox"/> Medium (monthly/quarterly) <input type="checkbox"/> High (frequent/active trading)

4. List of directors					
Full name	Date of birth	Passport/ID number	Residential address	Email	Phone number

**For each director, please provide a scanned copy of a valid ID document, along with proof of residence, i.e. a recent utility bill (issued within the last 3 months). Additional verification via our KYC/AML provider to be requested after initial documentation check.*

5. List of shareholders					
<input type="checkbox"/> Natural Persons					
Full name	Date of birth	Passport/ID number	Residential address	Email	Percentage of ownership (%)
<input type="checkbox"/> Legal Entities					
Company name	Company number	Country of incorporation	Residential address	Email	Percentage of ownership (%)

**For each natural person shareholder, please provide a scanned copy of a valid ID document, along with proof of residence, i.e. a recent utility bill (issued within the last 3 months). Additional verification via our KYC/AML provider to be requested after initial documentation check.*

***For each legal entity shareholder, please provide an extract from the CIPC (CIPC Enterprise Disclosure Certificate). For non-SA companies, please provide the Certificate of Incorporation, the Certificate of Incumbency, and proof of address (all issued within the last 3 months).*

6. Ultimate Beneficial Owner (UBO)						
Full name	Date of birth	Passport/ID card number	Residential address	Email	Phone number	Percentage of ownership (%)

**For each UBO, please provide a scanned copy of a valid ID document, along with proof of residence, i.e. a recent utility bill (issued within the last 3 months). Additional verification via our KYC/AML provider to be requested after initial documentation check.*

***The Ultimate Beneficial Owner is the individual who ultimately owns, controls, or significantly benefits*

from a company, regardless of the formal ownership structure. This person may hold influence either directly or through a chain of ownership and is crucial in understanding who truly has the authority or receives the benefits from the company's operations. Identifying the UBO is essential for transparency, compliance, and regulatory purposes.

Ownership & Control Confirmation

Please confirm the following by ticking the boxes:

The ownership structure provided above is complete and accurate, and no other individual or entity (including trusts, nominees, foundations, or informal arrangements) holds any ownership, voting rights, or control over the Company.	<input type="checkbox"/>
There are no undisclosed agreements or arrangements (formal or informal) that allow any third party to exercise influence and control over or derive economic benefit from the Company.	<input type="checkbox"/>
The Company undertakes to immediately notify BROKSTOCK of any changes to its ownership or control structure	<input type="checkbox"/>
All individuals and entities within the Company's ownership and control structure are free from sanctions listings, criminal proceedings, money-laundering activities, terrorism-financing links, or any other prohibited activities, and none are Politically Exposed Persons (PEPs) unless expressly disclosed to BROKSTOCK	<input type="checkbox"/>

Acting on own behalf

The Company confirms that it is acting on its own behalf and not as a nominee, agent, or intermediary for any undisclosed third party. The Company further confirms that no other person or entity, whether natural or legal, will have any beneficial interest in, control over, or entitlement to the account unless explicitly disclosed to BROKSTOCK.

Declaration by authorised person(s) acting on behalf of the Company

I hereby declare that the information provided in this form, and in all supporting documents submitted with it, is true, accurate, and complete. I understand that providing false, misleading, or incomplete information, or failing to disclose any material fact, may constitute an offence under applicable laws, including anti-money laundering and counter-terrorist financing legislation. I acknowledge that such offences may result in regulatory action, criminal prosecution, administrative penalties, or the termination of the business relationship.

I further confirm that I am duly authorised to act on behalf of the Company and to make this declaration.

Name of Entity:

Name of Authorised Signatory:

Position:

Signature:

Date:

CRS Self-Certification Form

Entity

Name of the company	
Country of incorporation	
Email	
Registered address	
Mailing address	<input type="checkbox"/> Same as the registered address

Country of Tax Residence and Taxpayer Identification Number (TIN)

Please complete the table below by indicating:

- each jurisdiction where the Entity is considered a tax resident, and
- the Entity’s Taxpayer Identification Number (TIN) or functional equivalent for each such jurisdiction.

Some jurisdictions apply a “wider approach” that may require you list a TIN for every country of residence, not only for Reportable Jurisdictions.

If the Entity is not considered a tax resident in any jurisdiction (for example, because it is fiscally transparent), please indicate “Not tax resident – fiscally transparent” and state the jurisdiction in which its place of effective management or principal office is located.

If the Entity is a tax resident in more than three jurisdictions, please attach an additional sheet.

If a TIN is not available, please select the applicable reason:

Reason A – The jurisdiction does not issue TINs to its residents.

Reason B – The Entity is otherwise unable to obtain a TIN or equivalent number. (If selected, please explain the reason below.)

Reason C – No TIN is required under the domestic law of that jurisdiction. (Only select this reason if the law explicitly does not require the collection of a TIN.)

Country of Tax Residence	TIN or Functional Equivalent	If No TIN is Available, Select A/B/C

If you selected Reason B above, please explain why your Entity is unable to obtain a TIN in the box below.

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Entity Classification (for CRS Purposes)

Please indicate the Entity's status by selecting one of the categories below.

1. FINANCIAL INSTITUTION – Investment Entity

Select either (a) or (b):

a. Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution

b. Other Investment Entity

If you select option 1, please provide the Entity's Global Intermediary Identification Number (GIIN), if applicable:

GIIN: _____

2. FINANCIAL INSTITUTION – Depository Institution, Custodial Institution, or Specified Insurance Company

The Entity meets the definition of a Financial Institution in one of the categories above.

If applicable, GIIN: _____

3. ACTIVE NFE (NON-FINANCIAL ENTITY)

Select one of the options below:

a. Publicly traded corporation

A corporation with stocks regularly traded on an established securities market, or a corporation that is a related entity of such a corporation.

b. Government entity or central bank

c. International organisation

An organisation or agency that is wholly owned by, or established under, an intergovernmental agreement. Privately owned entities do not qualify.

d. Active NFE (other)

For example: an operating company generating active income, a start-up entity, or non-profit organisation.

e. Passive NFE

(If you select this option, please also complete sections (a) and (b) below.)

4. PASSIVE NFE

An entity that is not a Financial Institution and does not meet the criteria of an Active NFE.

If you selected 1(a) or 4, please provide:

a. Names of all Controlling Persons: _____

b. Completed individual CRS Self-Certification Forms.

Note:

Terms used in this form have the meaning assigned to them under the OECD Common Reporting Standard (CRS).

For full definitions, please refer to the OECD documentation available at:

www.oecd.org/tax/automatic-exchange

Acknowledgement and Declaration

By signing this form, the Entity and its authorised representative acknowledge and agree to the following:

I understand that the information provided in this self-certification will be used to determine the Entity's tax residency status and reporting obligations under the Common Reporting Standard (CRS) as implemented in South Africa.

I acknowledge that the information contained in this form, as well as information relating to the Entity's accounts held with BROKSTOCK, may be disclosed to the South African Revenue Service (SARS) and exchanged with the tax authorities of other jurisdictions in which the Entity may be a tax resident, in accordance with international agreements on the automatic exchange of financial account information.

I confirm that I am the Account Holder or am duly authorised to sign this form on behalf of the Account Holder.

Where I have provided information relating to any Controlling Person or any other Reportable Person connected to this Entity, I confirm that I have notified such persons that their information may be provided to SARS and may be exchanged with the tax authorities of other jurisdictions pursuant to CRS requirements.

I undertake to notify BROKSTOCK within 30 days of any change in circumstances that affects the information provided in this form, including any change to the Entity's tax residency status or to the details of any Controlling Person. I further undertake to provide BROKSTOCK with an updated self-certification within 90 days of such change.

By submitting this form, I certify that the information provided is true, accurate, and complete, and that I have read, understood, and agree to the above declarations.

Authorised Signatory

Name of Entity:

Name of Authorised Signatory:

Position:

Signature:

Date: