

SIMPLIFIED DUE DILLIGENCE

Please be aware that the list of documents does not purport to be exhaustive, and upon review of the documents we may have to request further documentation. Company is also kindly requested to provide us with any other documents which company may deem to be relevance. A true translation shall be added in case the documents are in language other than English.

DOCUMENT	FORM OF CERTIFICATION
1. Evidence of regulation	<i>Link to regulatory body web-site</i>
2. Trade register extract or link to business register with incorporation details (incorporation number, registered office address, board members, shareholders etc.)	<i>Link to incorporation body web-site or certified copy of the relevant document (by authorised signer of the Company)</i>
3. List of individuals that are duly authorized to act on behalf of legal entity (i.e. authorised signature list and list of authorised traders)	<i>Original or certified true copy (by authorised signer of the Company)</i>
4. The latest approved by professional accountants or auditors financials	<i>Link to web-site or scanned copy</i>
5. Standard Settlement Instructions, LEI and contact details for authorize traders and back-office	<i>In electronic format</i>
<i>In case of trading on behalf of investment funds, mutual funds:</i>	
<ul style="list-style-type: none"> • <i>AML letter (as per attached sample or as per your form), including list of funds and their countries of incorporation</i> 	<i>Original or certified true copy by authorised signer of the Company</i>
<ul style="list-style-type: none"> • <i>If any: Copy of license or authorization from granted by competent authority for the fund, including confirmation on supervision for AML</i> 	<i>Link to regulatory body web-site</i>
<ul style="list-style-type: none"> • <i>If any: Prospectus or other document for the fund, in order to confirm the control structure and management of the business activities, as well as its objectives, including information of investment managers, investment advisors, administrators and custodians.</i> 	<i>Certified true copy by authorised signer of the Company or link to publically available documents</i>

We also kindly ask you to submit as per attached samples:

FORM	FORM OF CERTIFICATION
1. Questionnaire for legal entity	<i>Original</i>
2. Latest Wolfsberg AML questionnaire	<i>Original</i>
3. Client categorization according to MiFID II	<i>Original</i>
4. Relevant W8 or W9 form and CRS form	<i>Original</i>
5. <i>For US fiduciaries only: 15a-6 statement</i>	<i>Original</i>