



Account Opening Form (Corporate)

The information requested below will ensure that Spread Co Limited complies with the FSA rules in connection with the opening of your account with Spread Co. Please ensure that you have read Spread Co's Terms of Business (including the Risk Warning) and Execution Policy, copies of which you should have received from Spread Co, before completing this form. If you require additional copies of these documents, please contact a sales representative or visit premiumsecurity.anandrathi.com. If you wish to open a joint account or to permit another person to submit instructions to Spread Co on your behalf, or you are an individual, please contact a sales representative who will provide you with the appropriate forms.

BEFORE PERMITTING YOU TO OPEN AN ACCOUNT AND TO BEGIN TRADING, SPREAD CO MUST BE SATISFIED THAT CONDUCTING BUSINESS WITH YOU IS APPROPRIATE FOR YOU. THIS ASSESSMENT WILL BE MADE ON THE BASIS OF THE INFORMATION THAT YOU PROVIDE TO SPREAD CO IN THIS FORM. YOU ARE UNDER NO OBLIGATION TO ANSWER ALL OR ANY OF THE QUESTIONS, HOWEVER, IF YOU DO NOT DO SO, IT MAY LEAD TO SPREAD CO BEING UNABLE TO TRANSACT BUSINESS WITH YOU.

Please complete this form in **BLOCK CAPITALS** and black ink

Company Information

Company Name:

Registered Number:

Country of Incorporation:

Date of Incorporation: D D / M M / Y Y Y Y

Contact Details

Registered Office Address:

Country: PIN:

Operating Address (if different):

Country: PIN:

Name of Contact Person:

Phone Number:

Fax Number:

Email Address:

Website Address:

Financial Details

(This information is necessary to assist Spread Co in assessing the Company's appropriateness for trading. These values will not have the effect of limiting the Company's potential losses to the amounts indicated.)

Approximate Net Worth of Company (Rs):

Approximate Value of Company's Share Portfolio (Rs):

Are the Company's objectives: Speculation: Hedge against other investments:

Company's principal type of business:

Is the Company an FSA Member Firm?: Yes: No:

Does the Company's business require knowledge of derivatives trading?: Yes: No:

If yes, please provide details:.....

Account Type

(If any of the options below are not chosen, USD base currency will be selected as your default account)

Currency of Account (choose one only): USD: EUR: GBP:

Bank Account Details

(Please provide details of the Company's bank account to which trading funds will be paid.)

Account Name:

Account No: Account Type: Savings: Current:

SWIFT Code:

Name of Bank:

Branch Address:

Town/City: Pin:

State: Country:

Previous Trading Experience

- Does the Company's management understand the nature and risks of derivatives trading? Yes: No:
- Does the Company's management have any experience of derivatives trading? Yes: No:
- Has the Company traded in financial products in the last year? Yes: No:
- Has the Company traded in shares in the last year? Yes: No:
- If yes: In what capacity does the Company trade: Execution - only Advisory Managed
- What type of investments does the Company's management have experience of?.....
.....
- How often does the Company enter into investment trades?..... per month
- How large are the investment trades that the Company has made during the last twelve months?.....
.....
- Which companies has the Company traded financial products with in the last year? Names:
.....
.....
.....
.....
- Have any of the Company's management team attended a lecture or course on share trading or derivatives trading in the past 12 months? If yes, please provide details.....
.....
- Do any of the Company's management hold a professional qualification which you consider assists comprehension of Premium Securities? If yes, please provide details.....
.....

Authorisation to convey client instruction

If the Company would like to give Anand Rathi authority to submit the Company's instructions to Spread Co on its behalf, please complete this form

To: **Spread Co Limited**
22 Bruton Street
London W1K 6QE
United Kingdom

.....
 Name of Company

.....
 Address

Dear Sirs,

AUTHORISATION

1. **I/WE HEREBY APPOINT, NOMINATE, AND AUTHORISE Anand Rathi Commodities Ltd** of 11th Floor, Times Tower, Kamala City, Sanapati Bapat Marg, Lower Parel (W), Mumbai 400013, India whose signature appears below (the **Agent**), in my/our name and on my/our behalf to convey my/our instructions with respect to buying and selling Premium Securities of foreign exchange, securities, commodities, indices and such other investment transactions, as are offered by Spread Co Limited (**Spread Co**) from time to time (**Premium Securities**) and to:
 - (a) convey my/our written, e-mail or telephone instructions to place orders, execute trades, buy, sell and otherwise deal in Premium Securities of any nature whatsoever (an **Instruction**), whether by telephone, on Spread Co's electronic dealing system (the **Dealing System**) or in any other manner permitted by Spread Co from time to time, in respect of my/our account or accounts maintained with Spread Co from time to time (the **Account**);
 - (b) view all details and information relating to my/our Account(s) on the Dealing System from time to time, or in any other manner in which Spread Co permits my/our Account details to be viewed; and
 - (c) take any other action instructed by me/us to be taken in relation to my/our Account(s) pursuant to Spread Co's Terms of Business, other than withdrawing funds from my/our Account.

EXCEPT AS SET FORTH IN THE TERMS CONTAINED HEREIN, THE AGENT IS NOT AUTHORISED TO WITHDRAW ANY MONEY, SECURITIES OR OTHER PROPERTY FROM MY/OUR ACCOUNT(S) OR OTHERWISE HELD WITH THE AGENT IN MY/OUR NAME.

2. I/we undertake to ratify and confirm any actions the Agent does or purports to do in good faith acting on my/our Instructions in accordance with this Authorisation and acknowledge that I/we will be liable as principal for any actions taken by the Agent on my/our behalf pursuant to this Authorisation. I/we agree that the Agent may delegate one or more of the Instructions to a director, officer, employee or representative appointed for that purpose by the Agent.
3. Spread Co is authorised and directed to deduct from my/our Account(s) and pay to the Agent the amount of all fees and commissions to be paid to the Agent. I/we hereby agree to indemnify and hold Spread Co and its employees harmless from any damages, losses or dispute arising out of or relating to the calculation and payment of any such fees and commissions.
4. I/We hereby request Spread Co to provide the Agent with access to my/our Account(s) from time to time in order for the Agent follow the Instructions pursuant to this Authorisation, and authorise Spread Co to provide the Agent with access to any information relating to my/our Account(s) which the Agent may require from time to time in order to follow the Instructions given to it pursuant hereto.
5. I/We consent to the Agent being appointed as Agent for other accounts with Spread Co (now and in the future) and hereby indemnify Spread Co from and against all and any liabilities arising as a result of any acts or omissions of the Agent with the respect to my/our Account under such circumstances.

Indemnity

6. Pursuant to the power and authority vested by me/us in the Agent, I/we agree and acknowledge that Spread Co is authorised to follow any instructions given to Spread Co from the Agent on my/our behalf.
7. I/We agree and acknowledge that Spread Co shall not incur any liability of any nature whatsoever to me/us or to any third party in respect of any damages, liabilities, costs, expenses, or lost profits arising as a result of following instructions received from the Agent.
8. I/We hereby agree to indemnify and hold harmless Spread Co against all damages, liabilities, costs, expenses and lost profits (including reasonable legal fees) that arise in connection with following the Agent's instructions pursuant to this Authorisation.
9. This Authorisation and the indemnity set out herein is in addition to all rights and remedies Spread Co may have under any other agreement or agreements between me/us or howsoever otherwise arising.

General

10. I/We agree and acknowledge that the Agent shall not be liable for any damages, liabilities, costs or expenses which I/we incur or to which I/we become subject as a result of any action or omission to act by the Agent in connection with Agent's performance, provided that such conduct does not constitute fraud.
11. I/We agree and acknowledge that the Agent shall not be liable for any indirect, incidental, special, punitive or consequential damages of any kind or nature whatsoever, whether arising under contract or tort (including negligence or strict liability) even if the possibility of damages were disclosed to the Agent or could have been reasonably foreseen by the Agent. I/we hereby further agree to indemnify and hold harmless the Agent against all damages, liabilities, costs, expenses, or lost profits (including reasonable legal fees) that arise in connection with following my/our Instructions.
12. This Authorisation shall continue in effect until Spread Co's Terms of Business have been terminated or until Spread Co shall receive written notice of revocation signed by me/us, provided, however, that the indemnity shall survive the termination hereof. Until Spread Co has received actual written notice thereof, any such revocation or termination shall in no way affect the validity of this Authorisation and indemnity with respect to any Instruction initiated by the Agent prior to the actual receipt by Spread Co of such notice of revocation or termination.
13. This Authorisation and indemnity shall inure to the benefit of the Agent's and Spread Co's successors and assigns.
14. This Authorisation (and any dispute, controversy, proceedings or claim of whatever nature arising out of or in any way relating to this Authorisation or its formation or any act performed or claimed to be performed under it) shall be governed by and construed in accordance with English law.

This Authorisation has been entered into on the date stated at the beginning of it.

Yours faithfully,

Accepted and agreed by:
ANAND RATHI COMMODITIES LTD

.....
 Signature of Company Secretary / Director

Signature:

Name:

Title:

Date: / /

Date: / /

Authority to Trade with Spread Co

In order to open your account, Spread Co requires evidence that you have authority to trade with Spread Co. Therefore please arrange to pass a resolution of the directors of the Company and complete the following as evidence of this:

***Delete as applicable**

I Company Secretary / Director* of (the "Company")
(Name) (Name of Company)

certify that the following resolutions were duly passed by the Directors of the Company at a meeting held on (Date)

It was resolved as follows:

1. That account(s) (the "**Accounts(s)**") be opened in the name of the Company with Spread Co Limited for the purposes of entering into Premium Securities orders and trades and any transactions related or ancillary thereto.
2. That an agreement be entered into with Spread Co Limited in connection with the opening of the Accounts in such form as Spread Co Limited requires (the "**Agreement**") and that all transactions entered into by the Company shall be subject to the terms of the Agreement as amended from time to time.
3. That each of the persons whose names and specimen signatures appear below (the "**Authorised Signatories**") shall be and are hereby jointly and severally authorised to sign any document in connection with the opening and operation of the Accounts(s), including (but without limitation) the Agreement and any document creating, perfecting or relating to any mortgage, charge or encumbrance over the Company's assets and to give any oral or written instructions to Spread Co with respect to the Account(s) including (but without limitation) instructions to effect or otherwise enter into transactions with or on behalf of the Company.

(i)
Print Name & Title Specimen Signature

(ii)
Print Name & Title Specimen Signature

4. That any transactions or arrangements of any description whatsoever previously entered into by the Company with or through Spread Co Limited be and are hereby ratified and approved.
5. That these resolutions be communicated to Spread Co Limited and shall remain in force and that Spread Co Limited shall be entitled to rely on the same until an amending resolution shall be passed and copy certified by an officer of the Company has been received by Spread Co Limited.

I further certify that there is no legal or other reason why the Company should not conduct this business.

.....
Signature of Company Secretary / Director *

.....
Date

Declarations

Confirmation of Accuracy and Agreement:

Date: / /

We hereby represent and warrant that:

- (a) we have read and understood the Execution Policy and consent to the policy set out therein;
- (b) we have read and understood the Risk Warning and confirm that we understand the nature and risks of Premium Securities trading;
- (c) the information provided in this form is true and accurate and we will promptly notify you in writing if any of the representations materially change or cease to be true and accurate; and
- (d) we have read and understood and hereby confirm that we are legally bound by the Agreement of which this Form and your Terms of Business form part.

.....
Signature of Company Secretary / Director *

Company's Name:

IF AT ANY TIME THERE ARE ANY CHANGES TO THE INFORMATION PROVIDED TO SPREAD CO ON THIS FORM, IT IS IMPORTANT THAT YOU NOTIFY SPREAD CO IMMEDIATELY.

Completion of Form

PLEASE GIVE THE SIGNED AND COMPLETED FORM, TOGETHER WITH THE DOCUMENTS LISTED BELOW, TO THE SALES REPRESENTATIVE OR SEND BY POST TO:

Account Opening, Spread Co Limited, 1st Floor North, Argyle House, Joel Street, Northwood Hills, Middlesex HA6 1LN

- Memorandum and Articles of Association
- Certificate of Incorporation
- Most recent audited accounts
- Details of shareholders
- Proof of Registered Address
- Proof of Trading Address
- Individual verification of Directors (copy of passport and utility bill dated within last three months for each)

The photocopied documents should be certified by any of a: lawyer, notary, accountant or embassy official, with the wording: "Certified as a true and complete copy of the original". Please do not send original documents.

Data Protection

Spread Co would like to send you communications by email and post about Spread Co's other products and services which we believe may be of interest to you. If you would prefer not to receive such communications, please tick here:

For Official Use Only

Check List

	S/E:	SC:
1. Certified Copy Memorandum and Articles of Association	<input type="checkbox"/>	<input type="checkbox"/>
2. Certified Copy Certificate of Incorporation	<input type="checkbox"/>	<input type="checkbox"/>
3. Certified Copy most recent audited accounts	<input type="checkbox"/>	<input type="checkbox"/>
4. Certified Copy details of shareholders	<input type="checkbox"/>	<input type="checkbox"/>
5. Certified Copy proof of registered address	<input type="checkbox"/>	<input type="checkbox"/>
6. Certified Copy proof of trading address	<input type="checkbox"/>	<input type="checkbox"/>
7. Certified Copy individual verification of directors	<input type="checkbox"/>	<input type="checkbox"/>
8. Bank Account Details in full	<input type="checkbox"/>	<input type="checkbox"/>
9. Client Signature Page	<input type="checkbox"/>	<input type="checkbox"/>
10. Execution Policy and Authorisation Form Signature Pages	<input type="checkbox"/>	<input type="checkbox"/>

Appropriateness Test

Products appropriate for client to trade: Yes: No:

Reasons:.....

Client Classification

- 1. Retail Client
- 2. Professional Client
- 3. Eligible Counterparty

Details of any additional evidence produced to support client classification:

.....
 Name Spread Co Signature

Anand Rathi Details

Name of Sales Executive:

Sales Executive Code:

Sales Executive Branch and Telephone Number:

Sales Executive Signature: