

Dear Client,

Thank you for your interest in opening a Stock Brokerage Account with Mega Equity Securities & Financial Services Public Ltd.

Please see below supporting notes and guidance for the completion of the forms and the documents required as per the MIFID and AML guidelines. If you wish you can send us the required documents first in scan and then in original format. All requested documents must be provided in order to open an account. Failure to provide sufficient information may lead to a delay in processing your account opening application.

**Legal Entities - Legal entities NOT registered in Cyprus (also applies for BVI, St Vincent, Cayman Islands registered companies)**

Forms	Should be in <b>original format – director or other authorised person should sign</b>
MIFID Account opening form – Legal Entity	Should be completed and signed – email address is mandatory.
Agreement for the Provision of Investment and Ancillary Services	Complete, initial on all pages and sign on page 20 and 22
Electronic Services Addendum	(Optional) Complete page 27, initial on all pages and sign on page 30
Credits and Loans Addendum	(Optional) Complete page 31, initial on all pages and sign on page 34
Authorization and letter of indemnity for acting upon telecommunications	Initial on all pages and sign on page 36
Investments Questionnaire	Complete, initial on all pages and sign on page 40
Financial Situation –Beneficial owner	If required complete and sign on page 41. ( <b>Only if there are no Financial Statements</b> )
Categorization	Complete, initial on page 42 and sign on page 43
Written Resolution of the Board of Directors	Complete, initial and sign on pages 45 - 46
Data Subject consent form	Complete and sign on page 47
FATCA and CRS requirements	<p>Tax regulations and relevant legislation require the collection of certain information about each Account holder's tax residency. All clients need to fill in and sign the attached questionnaire (Entities self-certification form) and also one of the following forms which is appropriate for your type of entity.</p> <p>The forms can be downloaded from the following website links:</p> <p>W-8 BEN-E: <a href="https://www.irs.gov/pub/irs-pdf/fw8bene.pdf">https://www.irs.gov/pub/irs-pdf/fw8bene.pdf</a>            W-8 ECI: <a href="https://www.irs.gov/pub/irs-pdf/fw8eci.pdf">https://www.irs.gov/pub/irs-pdf/fw8eci.pdf</a>            W-8 EXP: <a href="https://www.irs.gov/pub/irs-pdf/fw8exp.pdf">https://www.irs.gov/pub/irs-pdf/fw8exp.pdf</a>            W-8 IMY: <a href="https://www.irs.gov/pub/irs-pdf/fw8imy.pdf">https://www.irs.gov/pub/irs-pdf/fw8imy.pdf</a>            W-9: <a href="http://www.irs.gov/pub/irs-pdf/fw9.pdf">http://www.irs.gov/pub/irs-pdf/fw9.pdf</a></p>
Power of Attorney	(Optional) Initial the first page and sign on the second page– the signature should be certified by certifying officer in Cyprus or notary public or other competent authority abroad
Application for the creation of a Share Account, a Securities Account and Authorisation of Use	(Optional) To open account with the Cyprus Stock Exchange – complete, initial on first page and sign on the second
Application for the creation of Investor Account, Securities Account and Usage	(Optional) To open account with the Athens Stock Exchange – complete and sign



<b>Documents</b>	
Certificate of Directors and Secretary and/or Original Certificate of Incumbency issued by Competent Authority or an authorised registered agent, notarised by a Notary Public with the Apostille.	
Original (within the last month) issued by the Registrar of Companies. If the certificate is not recent or original a lawyer's and secretary's letter is required to verify that the certificate is still valid. The names of the lawyer and the secretary and their signatures should be clearly stated. The lawyer could be either Cypriot or if foreigner it should be stated in which official register is registered. The letter should be printed on lawyers' letterhead. If the director and secretary is another company we need original certificates or lawyers' letter and the registration number of the legal person should be stated on the letter. The cost for the submission is €10 per lawyers' letter. If the Company does not have a Secretary, one of the Directors should sign along with the lawyer.	
<ul style="list-style-type: none"> <li>- Certified True Copy (by Lawyer) of the legalisation documents:             <ul style="list-style-type: none"> <li>o Certificate of Incorporation</li> <li>o Certificate of Registered Address</li> <li>o Certificate of Shareholders</li> <li>o Memorandum and Articles of Association</li> <li>o Certificate of Good Standing</li> <li>o Passport/ID for all Directors and Secretary (if Director or Secretary is a legal person, please provide all legal documents up to the physical person)</li> <li>o Utility bills (within 3 months) for all Directors and Secretary</li> <li>o Passport/ID for all Shareholders with direct/indirect ownership&gt;20% (if any of the shareholders is a legal person, please provide all legalisation documents up to the physical person together with a legal structure chart showing all intermediate entities up to the Ultimate Beneficial Owners signed by the Director - in case the Director is the UBO, then additionally signed by the Secretary (if any). In case the ultimate legal entity is a Nominee Shareholder, the Certificate of Incorporation and Nominee agreement (Deed of trust) are required. In case of nominee shareholders, a copy of the trust deed signed between the nominee shareholder and the beneficial owner, by virtue of which the registration of the shares on the name of the nominee shareholder on behalf for the real Beneficiary has been agreed.</li> <li>o Utility bills (within 3 months) for all shareholders with direct/indirect ownership&gt;20%</li> <li>o Audited Financial Statements of the last 2 years. If not available copies of the latest management accounts</li> <li>o Ownership structure</li> </ul> </li> </ul>	
<b><i>All legal entities should have a LEI code (Legal Entity Identifier) in order to be able to trade</i></b>	

[\\*Please sign only in blue](#)



**FATCA FORMS GUIDELINES**

W-8BEN <a href="http://www.irs.gov/pub/irs-pdf/fw8ben.pdf">http://www.irs.gov/pub/irs-pdf/fw8ben.pdf</a>	INDIVIDUALS	NON US persons e.g CY residents
W-9 <a href="http://www.irs.gov/pub/irs-pdf/fw9.pdf">http://www.irs.gov/pub/irs-pdf/fw9.pdf</a>	INDIVIDUALS AND LEGAL ENTITIES	US persons
W-8 BEN-E <a href="https://www.irs.gov/pub/irs-pdf/fw8bene.pdf">https://www.irs.gov/pub/irs-pdf/fw8bene.pdf</a>	LEGAL ENTITIES	NON US persons e.g CY companies, BVI companies etc
W-8ECI <a href="https://www.irs.gov/pub/irs-pdf/fw8eci.pdf">https://www.irs.gov/pub/irs-pdf/fw8eci.pdf</a>	LEGAL ENTITIES	US persons
W-8EXP <a href="https://www.irs.gov/pub/irs-pdf/fw8exp.pdf">https://www.irs.gov/pub/irs-pdf/fw8exp.pdf</a>	LEGAL ENTITIES	Foreign governments, international organisations, foreign central banks of issue, foreign tax exempt organisations, foreign private foundations and governments of US possessions
W-8IMY <a href="https://www.irs.gov/pub/irs-pdf/fw8imy.pdf">https://www.irs.gov/pub/irs-pdf/fw8imy.pdf</a>	LEGAL ENTITIES	Foreign Intermediary, foreign flow through entity, or certain US branches for United States Tax withholding and reporting

Note:

**Definition of a U.S. person.** For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien;
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States;
- An estate (other than a foreign estate); or
- A domestic trust (as defined in Regulations section 301.7701-7).

For any further information or explanations you may require, you can contact us on +357 22711711 or +357 22711800.

