



## PERSONAL APPLICATION

Attn: \_\_\_\_\_

FAX TO: 44 (0) 20 7398 5710

**ALL SECTIONS MUST BE COMPLETED IN FULL.** Thank you for your cooperation.

### PART I – GENERAL INFORMATION

1. Name: \_\_\_\_\_ 2. Street Address \_\_\_\_\_
3. City/Town: \_\_\_\_\_ 4. County: \_\_\_\_\_ 5. Country: \_\_\_\_\_ 6. Postal Code: \_\_\_\_\_
7. Telephone: \_\_\_\_\_ 8. Fax: \_\_\_\_\_ 9. E-Mail: \_\_\_\_\_
10. NI #: \_\_\_\_\_ 11. Date of Birth : \_\_\_\_\_ 12. Place of Birth : \_\_\_\_\_
13. Alternative Contact: \_\_\_\_\_ 14. Relationship to You: \_\_\_\_\_
15. Alt. Cont. Tel: \_\_\_\_\_ 16. Alt. Cont. Fax: \_\_\_\_\_ 17. Alt. Cont. E-Mail: \_\_\_\_\_
18. How did you hear about Cambridge? Internet  Referral  by: \_\_\_\_\_ Other  : \_\_\_\_\_

### PART II - TRADING ACTIVITY

1. Annual Volume of Currency Trading: \_\_\_\_\_ 2. Currencies Traded: \_\_\_\_\_
3. Nature of Transactions: \_\_\_\_\_
4. Origin of Transactions: [Check all that apply] Office  Home  Other  \_\_\_\_\_

### PART III - PERSONAL REFERENCE

Please identify a non-family member who has known you for at least 2 years.

1. Name: \_\_\_\_\_ 2. Street Address: \_\_\_\_\_
3. City: \_\_\_\_\_ 4. County: \_\_\_\_\_ 5. Country: \_\_\_\_\_ 6. Postal Code: \_\_\_\_\_
7. Telephone: \_\_\_\_\_ 8. Fax: \_\_\_\_\_ 9. E-Mail: \_\_\_\_\_
10. Number of Years They Have Known You \_\_\_\_\_ 11. Relationship or Association \_\_\_\_\_

### PART IV - ACCOUNT OPERATION

1. **Account Opening:** The Client applies for the opening of an account with Cambridge Mercantile Corp. (UK) Ltd. and/or Cambridge Mercantile Corp. (referred to collectively as "CMC) for foreign currency exchange and/or global payment services.
2. **Order Process:** The Client, by its signature of this Agreement, authorizes Cambridge to accept and rely on all orders and instructions, whether oral or written, from Client, and **agrees that Contracts will be entered into through binding oral agreements concluded over the telephone by the Client. The contract for each transaction arises upon the original verbal request/order, and acceptance/booking ("Deal Date"); return of the signed Deal Confirmation form merely represents written confirmation of the contract already made.**

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**PART V - PRIMARY BANKING INFORMATION**

- 1. Name of Bank: \_\_\_\_\_ 2. Address : \_\_\_\_\_
- 3. City: \_\_\_\_\_ 4. County: \_\_\_\_\_ 5. Country: \_\_\_\_\_ 6. Postal Code: \_\_\_\_\_ 7. Phone: \_\_\_\_\_
- 8. Type of Account Used to Pay Currency Exchange Charges: \_\_\_\_\_ 9. Account Number: \_\_\_\_\_
- 10. Method for Settling Accounts: Wire Transfer  Bank Draft  Certified Cheque  Other  Specify: \_\_\_\_\_
- 11. Bank Mgr: \_\_\_\_\_ Title: \_\_\_\_\_ Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ 15. E-mail: \_\_\_\_\_

I authorize the above references listed in Part III and/or Part V to provide Cambridge Mercantile Corp, or its representative, with any information necessary to assist me in my dealings with Cambridge.

**PART VI - COMPLIANCE REQUIREMENTS - PRIVACY**

Cambridge Mercantile Corp.(UK) Limited as a currency exchange trader based in London UK and part of the Canadian Cambridge Mercantile Corp. group of companies, is committed to maintaining full compliance with the UK's AML/TF laws, The Proceeds of Crime Act and its regulations and related laws, as well as the Privacy Act and the Data Protection Act. As such, we are required under that legislation to obtain from all new customers a copy of the following:

- A notarized copy of any one of the following pieces of identification: a birth certificate; driver's licence, passport, provincial health insurance card (where permitted for such use), or a similar government-issued record approved by Cambridge Mercantile.
- A Certified copy of a recent utility bill or bank statement showing your address.

This information must be provided to us prior to our completing the first transaction but will be kept on file for reference in any and all future transactions. You may fax the original notarized copy to us but it must be followed up within 7 days with the original copy via courier or postal service.

Valid Photo Identification Presented: Driver's License  Passport  National Insurance Card   
Other Approved Government ID  ; and Recent utility bill/bank statement

Reference # of Identification Document: \_\_\_\_\_ Where Issued: \_\_\_\_\_

Issued Date: \_\_\_\_\_ Expiry Date: \_\_\_\_\_

**Privacy:** We obtain such information only to carry out our services and for compliance reasons. We do not normally provide this information to unaffiliated third parties. Please refer to our attached Privacy Notice.

**PART VII - CERTIFICATION**

Applicant certifies that he/she is acting, as principal, for and on his/her own behalf and not on behalf of any third party. The applicant certifies that the information set out in this application is correct and complete.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**FOR OFFICE USE ONLY**

Identity Affirmation

I affirm that the identity document presented by the customer was an original and was not a copy. A copy of the identity document was also provided to me or was taken by me which I verified was a true copy of the original identity document.

<i>Staff Name [Print]:</i>	<i>Signature:</i>
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**CAMBRIDGE  
MERCANTILE CORP.  
(UK) LIMITED**

## **Privacy Policy Notice**

**(Pursuant to The Privacy Act and the Data Protection Act (UK) )**

**(Pursuant to FTC Final Rule on Privacy of Consumer Financial Information, the Fair Credit Reporting Act and the Gramm-Leach-Bliley Act)**

**&**

**(Pursuant to the Personal Information Protection and Electronic Documents Act, Canada (PIPEDA) )**

We collect nonpublic personal information about you from the following sources:

- information we receive from you on applications or other forms;
- information about your transactions with us, our affiliates, or others; and
- information we may receive from a consumer or credit reporting agency.

We may disclose nonpublic personal information about you only to the following types of third parties:

- financial service providers, such as bankers, in order to carry out required institutional risk control, and/or to carry out our services to you that you have requested;
- computer services consultants and technicians or other security and compliance consultants in order to ensure the protection of the confidentiality and security of your records; and
- financial services providers to protect against or prevent actual or potential fraud, unauthorized transactions, claims, or other liability.

We may also disclose nonpublic personal information about you to nonaffiliated third parties only as permitted or required by law.

We restrict access to nonpublic personal information about you to those employees who need to know that information to provide products or services to you. In the event that we must disclose such information to financial service providers, computer services consultants or technicians or other security and compliance consultants, we do so only under strict confidentiality and non-disclosure restrictions set out in a written undertaking that such consultant(s) are required to sign in advance.

We maintain physical, electronic, and procedural safeguards that comply with all laws to guard your nonpublic personal information.

**CAMBRIDGE MERCANTILE CORP. (UK) LIMITED  
CAMBRIDGE MERCANTILE CORP.  
CAMBRIDGE MERCANTILE CORP. (U.S.A.)**

per: \_\_\_\_\_  
Jacques Feldman, President

per: \_\_\_\_\_  
Bernard Heitner, CEO, Sec-Treas.

per: \_\_\_\_\_  
Kenneth H. Saul, Privacy Officer  
*General Counsel, Senior Regulatory & Compliance Officer*