



SOLE TRADER (SMALL BUSINESS) 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. Sole Trader: _____ 1A. Business Name: _____
2. Registration # of Business Name: _____ 2B. When Registered?: _____
3. Street Address _____
4. City/Town: _____ 5. County: _____ 6. Country: _____
7. Postal Code: _____ 8. VAT/NI # : _____ 9. Date of Birth : _____
10. Telephone: _____ 11. Fax: _____ 12. E-Mail: _____
13. Alternative Contact: _____ 14. Relationship to You: _____
15. Alt. Contact Telephone: _____ Alt. Contact Fax: _____ Alt Contact E-Mail: _____
16. 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 & Purpose of Transactions: _____
4. Origin of Transactions: [Check all that apply] Office Home Other _____

PART IV - BUSINESS REFERENCES

1. Company Name: _____ Street Address: _____
 City: _____ County: _____ Postal Code: _____
 Contact Name: _____ Title: _____ Telephone: _____ Fax: _____
 Years Doing Business Together: ____ Type of Business: _____
2. Company Name: _____ Street Address: _____
 City: _____ County: _____ Postal Code: _____
 Contact Name: _____ Title: _____ Telephone: _____ Fax: _____
 Years Doing Business Together: ____ Type of Business: _____

PART VI - 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.**

PART IV - 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 Manager: _____ Title: _____ Telephone: _____ Fax: _____ E-mail: _____

I authorize any of those individuals/companies listed in Part III or Part IV to provide Cambridge Mercantile Corporation (UK) Limited, or its representative, with information necessary to assist us in our 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 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.

Staff Name [Print]:	Signature:
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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)

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(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