

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 registered in Cyprus

Forms	Should be in original format – director or other authorised person should sign
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 page 2, initial all pages and sign on page 20 and 22
Electronic Services Addendum	<i>(Optional)</i> Complete page 27, initial all pages and sign on page 30
Credits and Loans Addendum	<i>(Optional)</i> Complete page 31, initial and sign on page 34
Authorization and letter of indemnity for acting upon telecommunications	Initial all pages and sign on page 36
Investments Questionnaire	Complete, initial and sign on page 40
Financial Situation –Beneficial owner	Complete and sign on page 41
Categorization	Complete, initial and sign on page 43
Written Resolution of the Board of Directors	Complete, initial and sing
Data Subject consent form	Complete and sign on page 47
FATCA and CRS requirements	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. The forms can be downloaded from the following website links: W-8 BEN-E: https://www.irs.gov/pub/irs-pdf/fw8bene.pdf W-8 ECI: https://www.irs.gov/pub/irs-pdf/fw8eci.pdf W-8 EXP: https://www.irs.gov/pub/irs-pdf/fw8exp.pdf W-8 IMY: https://www.irs.gov/pub/irs-pdf/fw8imy.pdf W-9: http://www.irs.gov/pub/irs-pdf/fw9.pdf
Power of Attorney	<i>(Optional)</i> 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	<i>(Optional)</i> 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 Authorisation	<i>(Optional)</i> To open account with the Athens Stock Exchange – complete and sign



Financial Situation	(Only if there are no Financial Statements) Complete, initial and sign
Documents	
<p>- Certificate of Directors and Secretary 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 a legal person 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.</p>	
<p>- Certified True Copy (by Lawyer) of the legalisation documents:</p> <ul style="list-style-type: none"> o Certificate of Incorporation o Certificate of Registered Address o Certificate of Shareholders o Memorandum and Articles of Association o Passport/ID for all Directors and Secretary (if Director is a legal person, please provide all legal documents up to the physical person, if Secretary is a legal person, please provide Certificate of Directors and Secretary) o Utility bills (within 3 months) for all Directors and Secretary o Passport/ID for all Shareholders with direct/indirect ownership >20% (if any of the shareholders is a legal person, please provide Certificate of Directors and Secretary up to the physical person) and ultimate beneficial owners of the company o Audited Financial Statements of the last 2 years. If not available copies of the latest management accounts o Corporate resolution authorizing the opening of the account and granting authority to those who will operate it (including authorized signatories) o Documents and data to establish the identity of person/s authorized by the legal person to operate account, as well as the registered shareholders and beneficial owners of the legal person. o Ownership structure 	
<p>All legal entities should have a LEI code (Legal Entity Identifier) in order to be able to trade</p>	

FATCA FORMS GUIDELINES

W-8BEN http://www.irs.gov/pub/irs-pdf/fw8ben.pdf	INDIVIDUALS	NON US persons e.g. CY residents
W-9 http://www.irs.gov/pub/irs-pdf/fw9.pdf	INDIVIDUALS AND LEGAL ENTITIES	US persons
W-8 BEN-E https://www.irs.gov/pub/irs-pdf/fw8bene.pdf	LEGAL ENTITIES	NON US persons e.g. CY companies, BVI companies etc.
W-8ECI https://www.irs.gov/pub/irs-pdf/fw8eci.pdf	LEGAL ENTITIES	US persons
W-8EXP https://www.irs.gov/pub/irs-pdf/fw8exp.pdf	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 https://www.irs.gov/pub/irs-pdf/fw8imy.pdf	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.