



Xnet Business On-Boarding: Execution Agent AK Jensen



The purpose of this document is to help the Xnet Participants and the candidate Xnet Participants with the completion of the legal documents and forms required for on boarding to the new Execution Agent of the Xnet network, **AK JENSEN LIMITED (AKJ)**.

These are the following:

1. AKJ - Standard Mandatory Account Opening Documents
(Terms and Conditions of Business- Electronic Agency Broker Agreement and Account Opening Form)
2. Guaranteed Settlement Letter
3. AK Jensen Limited - ESMA Client Suitability Questionnaire
(Direct Market and Sponsored Access Trading Suitability Questionnaire)
4. Wolfsberg Anti-Money Laundering Questionnaire
5. Latest Financials
6. Authorized signatory list

The following additional documents, only for Participants from **non FAFT** Countries (**Romania, Cyprus**) are also required:

1. Structure Chart showing beneficial ownership of over 25%
2. Original Certified copy of the certificate of incorporation
3. Certified copy of Director(s)'s passport
4. Certified copy of Director(s)'s Utility bill (not older than 3 months)

The detailed instructions to help the candidate or current Xnet Participants to fill in the aforementioned documents are given in the following paragraphs.

In order to make the admission procedure faster, please send us all the aforementioned documents scanned in the e-mail address xnet-ms@athexgroup.gr and in second phase you can send us the original hard copies.

Please note that all the documents must be submitted in **English language, except the last one (Utility Bill)**.



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1 REQUIRED DOCUMENTS 1–2

Document name	Counterparties involved	Fill in guidelines	Original copies required
1. AKJ - Standard Mandatory Account Opening Documents TERMS AND CONDITIONS OF BUSINESS - Electronic Agency Broker Agreement	AK JENSEN – Xorder Participant	<p>Page 1: In the section “You” the candidate Xorder Participant’s details are filled in.</p> <p>Page 10: The legal representative (authorized signatory) of the candidate Xorder Participant with/or the representatives with legal right of signature sign in the relevant fields.</p> <p>Page 14: The legal representative (authorized signatory) of the candidate Xorder Participant with/or the representatives with legal right of signature sign in the relevant fields.</p> <p>Page 18: In question “Are any of the above Director’s “Politically Exposed Persons”(PEP) as defined by MiFiD”, if the answer is YES you have to provide the name of the Director along with his attribute as PEP</p>	2 original hard copies
2. AKJ - Standard Mandatory Account Opening Documents ANNEX: Account Opening Form		<p>Sections A, B, C:</p> <p>The candidate Xorder Participant provides answers to the relevant list of questions.</p> <p>Section D:</p> <p>See the required document No 5 in section Required Documents 3 -5 of the current document</p> <p>Sections F:</p> <p>The candidate provides details for the authorised traders.</p> <p>Please note that the field <u>Direct Line</u> is already filled in, since only ATHEX (Members Support Dpt) is authorized to contact AKJ for trading issues.</p>	
3. Guaranteed	AK JENSEN – ATHEX – Xorder	Page 1: In section (b) the candidate Xorder Participant’s	3 original hard

Document name	Counterparties involved	Fill in guidelines	Original copies required
Settlement Letter	Participant	<p>details are filled in, (name - country of origin – address).</p> <p>Page 2: The date of signature.</p> <p>Page 3: The legal representative (authorized signatory) of the candidate XNET Participant with/or the representatives with legal right of signature sign in the relevant fields. The candidate Xorder Participant's details are also filled in.</p>	copies
4. Wolfsberg Anti-Money Laundering Questionnaire	AK JENSEN – Xorder Participant	If you answer “no” to any question, additional information can be supplied at the end of the questionnaire.	1 original hard copy

2 REQUIRED DOCUMENTS 3-5

Document name	Fill in guidelines	Original copies required
1. AK Jensen Limited - ESMA Client Suitability Questionnaire	<p>Section: Staff Competency and Training & System Interaction & Access Controls:</p> <p>The candidate Xorder Participant provides answers to the relevant list of questions.</p> <p>Section: Contacts</p> <p>Question 13</p> <p>The three (3) first bullets are already filled in since only ATHEX (Members Support Dpt) is authorized to contact AKJ for trading issues</p> <p>For the last bullet give your compliance officer contacts.</p>	1 original hard copy
2. Latest Financials	<p>Provide the latest financial statements in English language.</p> <p>The statement must be signed and stamped by the company that audited the client's financials.</p> <p>Alternatively the statement must be:</p> <ol style="list-style-type: none"> signed by a lawyer who will indicate that is 'true copy' and accompanied by the original financial statement in Greek which will be signed and 	



Xnet business on-boarding
Legal documentation fill in guidelines

Document name	Fill in guidelines	Original copies required
	stamped by the company that audited the client's financials.	
3. Authorized signatory list	<p>Make your own list of signatories:</p> <p>Name – Surname - Position by individuals with the legal right of signature - Sample of signatures</p> <p>Please use company's letter format</p>	1 original hard copy

3 ADDITIONAL DOCUMENTS – FOR PARTICIPANTS FROM CYPRUS & ROMANIA

Document name	Fill in guidelines	Original copies required
1. Structure Chart showing beneficial ownership of over 25%	<p>In English Language.</p> <p>Please use company's letter format, signed by the authorized signatory.</p> <p>If there isn't any ownership of over 25%, you have to declare that, again in company's letter format signed by authorized signatory.</p>	1 original hard copy
2. Original Certified copy of the certificate of incorporation	In English Language.	1 original hard copy
3. Certified copy of Director(s)'s passport.	<p>Certified Copy of the passport of the Legal Representatives (authorized signatory) who signed the contracts documents.</p> <p>If passport is not available a Certified Copy of the National ID is required.</p>	
4. Certified copy of Director(s)'s Utility bill (not older than 3 months)	<p>Utility bill of Legal Representative (authorized signatory) who signed the contracts documents.</p> <p>Greek or Romanian Language is accepted.</p> <p>If Utility bill is not available, a bank's statement might be required.</p>	1 original hard copy