
Required Information/Acknowledgement for Account Opening

- ☐ New account opening
- ☐ Amend the existing information (please specify the information to be amended: e.g. Name of Investor, Registered address, etc.)

- 1 Name of the Investor _____
- 2 Establishment Date / Date of Birth
(DD-MM-YYYY) _____
- 3 Nationality _____
- 4 Registered Address
(Domicile address of the Investor) _____

- 5 Point of contact
- Telephone Number _____
- Email Address _____
- 6 Existing Investment Registration Certificate Number
(IRC number), if applicable _____

Notes: The investor who has its existing IRC number issued by the Financial Supervisory Service (FSS) should continue using it for trading and settlement of securities trades instead of using its LEI or passport number. The investor bears full responsibility for any consequences from the duplication of account openings using separate identification methods.

- 7 LEI number (Corporates) / Passport number (Individual) _____
- 8 Application for Omnibus Account* (Y/N) _____

Notes: In principle, a foreign investor should open a segregated account in its own name in Korea. An account should not be opened in a nominee or intermediary or agent's name. However, Global securities company or global asset management company that are major shareholders and affiliates of financial investment company or hedge fund in Korea can exceptionally open an account in its own name for trading and holding of securities for underlying investors, as opposed to the foregoing principle.

- 9 Business Classification of the Applicant
 - A. Please check one of the following classifications of the applicant
 - i. ☐ Financial Investment (e.g. Securities Broker, Dealer, Discretionary Portfolio Manager, Investment Advisor, Investment Manager, etc.)
 - ii. ☐ Insurance (e.g. variable insurance trust)
 - iii. ☐ Public Collective Investment Scheme (e.g. public mutual fund, public unit trust fund)
 - iv. ☐ Private Collective Investment Scheme (e.g. hedge fund)
 - v. ☐ Bank
 - vi. ☐ Other Financial Institution
 - vii. ☐ Pension Fund/Special Purpose Fund
 - viii. ☐ Central Government
☐ Municipal/Provincial/Local Government
☐ International Organization

- ☐ Public Organization
- ix. ☐ Other Legal Entity
- x. ☐ Individual

B. Please check one of the following status of the applicant

- i. ☐ Resident
- ii. ☐ Non-resident

10 Fund Relationship (If applicable)

A. Fund Management Company (Y/N)

- Name _____
- IRC or LEI Number _____

B. Application for Feeder Fund (Y/N)

- Master Fund Name _____
- IRC or LEI Number _____

11 Head Office/Branch Relationship (If applicable)

A. Application for Branch (Y/N)

- Head Office Name _____
- Head Office IRC or LEI Number _____

12 President of Legal Representative

- Name of Representative(s) _____
- Birth Date _____
- Nationality _____

**** In case any securities companies want to get representative information from [Custodian Bank], I hereby authorize [Custodian Bank] to share it as above and give it to the securities company.***

13 Business Nature (Business Area/Business Objectives/Business Activities)

14 Acknowledgement of explanation on Real Name Financial Transactions and Statutory Deposit Insurance

Real Name Financial Transaction

In accordance with Article 3 Paragraph 3 of the Act on Real Name Financial Transactions and Confidentiality, no one shall perform financial transactions in the real name of another person or a business entity for the purpose of concealing illegal assets, money laundering, terrorist financing, evading compulsory execution or other act of manipulating laws, and violators may be sentenced to a maximum of five years in prison and/or KRW50 million in fines.

I acknowledge that I have been provided with sufficient explanation as to the aforementioned information and fully understood the explanation. I further confirm that any and all financial transactions to be performed by me going forward do not fall into the category of such prohibited financial transaction conducted under borrowed name.

In case of any trade account opening with securities companies, I understand that the above explanation will also be applied to such accounts. Therefore, I hereby provide acknowledgement that the aforementioned information is also applicable to securities trading account opened at securities companies on my behalf by [custodian bank name]. I further authorise [custodian bank name] to sign on my behalf on a letter or account opening to the same effect as above and give it to the securities company.

☐ Acknowledged

Statutory Deposit Insurance

The funds in this account that have not been used to purchase securities and are held as cash are protected by the Korea Deposit Insurance Corporation (KDIC) under the Depositor Protection Act.

The KDIC provides coverage up to KRW 50 million per customer (for the aggregate of all insured financial products with this firm), including principal and designated interest.

In the event that this financial company is declared bankrupt after suspending deposit and other claim payments, the Korea Deposit Insurance Corporation (KDIC) will protect deposits up to KRW 50 million per customer, including principal and designated interest.

The term “designated interest” refers to the lesser of the interest amount based on the contractual rate or the amount calculated using the rate determined by the KDIC (in consideration of the average interest rate on one-year term deposits or equivalent financial instruments offered by KDIC-insured financial companies).

I hereby confirm that I have been explained and understand the availability of deposit insurance coverage for the financial product I am about to purchase (including whether it is covered or not) and the applicable coverage limit.

☐ Acknowledged

We hereby confirm that the information provided herewith is true, accurate and complete. We also understand and agree that this information will be transferred to securities companies for their use in account opening. In case there is any change in the above information, we will advise [custodian bank name] accordingly, and we will be held responsible for any consequences arising out of incorrect, inaccurate or incomplete information.

Delegated / Authorised Signature(s)

Name(s) of delegated / authorised signature(s)

Title(s) of delegated / authorised signature(s)

Date

외국인 A-10 (2024.08.19 개정)