

## Documentation required for Corporate Customers applying for an account with Interactive Brokers LLC (IBLLC)

### 1. Required Documents

(Please provide the following documents for corporate customer.)

|  |  |   |   |   |
|--|--|---|---|---|
| <b>Proof of your company</b>               | Please provide <b>two</b> of the following. Please note that one document cannot be used as multiple proof documents.  |   |   |   |
|  | <b>Proof of Existence</b>  | Articles of Incorporation   | (NA)  | <ul style="list-style-type: none"> <li>◇ Copy of original document is required.</li> <li>◇ The following matter shall be specified in the document with the seal of the representative and the date within 6 month; "I hereby certify that the document is true and correct"</li> </ul>   |
|  |  | Certificate of All Present Matters  | Less than 6 months old  | <ul style="list-style-type: none"> <li>◇ Copy of original document is required.</li> <li>※ Abridgment, history matters part certificate, or current matters part certificate is not acceptable.</li> <li>※ Please obtain "Certificate of All Historical Matters" or "Certificate of All Present Matters" if you request electronic certificates at Legal Affairs Bureau.</li> </ul> |
|  |  | Certificate of All Historical Matters   |   |   |
|  |  | Certificate of Registration   |   |   |
|  | Certificate of Seal Impression   |   | <ul style="list-style-type: none"> <li>◇ Copy of original document is required.</li> </ul>  |   |
|  | Please provide <b>one</b> of the following. Please note that one document cannot be used as multiple proof documents.  |   |   |   |
|  | <b>Proof of Principal Place of Business Address</b>  | Certificate of All Present Matters  | Less than 6 months old  | <ul style="list-style-type: none"> <li>◇ Copy of original document is required.</li> <li>※ Abridgment, history matters part certificate, or current matters part certificate is not acceptable.</li> <li>※ Please obtain "Certificate of All Historical Matters" or "Certificate of All Present Matters" if you request electronic certificates at Legal Affairs Bureau.</li> </ul> |
|  |  | Certificate of All Historical Matters   |   |   |
|  |  | Certificate of Registration   |   |   |
| Certificate of Seal Impression             |  | <ul style="list-style-type: none"> <li>◇ Copy of original document is required.</li> </ul>  |   |   |
| Utility Bill                               |  | <ul style="list-style-type: none"> <li>◇ Electronic, Gas, Water, Landline Phone bills are acceptable. Mobile phone bills are not acceptable. Document must contain 1) name, 2) current address, 3) issue date, 4) Utility company's name</li> <li>◇ Name and Address in the document must match those in your IBLLC application.</li> </ul> |   |   |
| Bank or Brokerage Statement                | <ul style="list-style-type: none"> <li>◇ The document must include Name, Bank/Broker's name, Address, and Issue Date.</li> <li>◇ The Name and Address in the document must match those in your IBLLC Application</li> <li>◇ Customer and bank must be from a country that is a member of the Financial Action Task Force on Money Laundering (see <a href="http://www.fatf-gafi.org">http://www.fatf-gafi.org</a>).</li> </ul> |   |   |   |
| Government Issued Letters                  | <ul style="list-style-type: none"> <li>◇ The document must include Name, Issuer, Address, and Issue Date.</li> </ul>   |   |   |   |
| <b>Proof of Ability to Trade on Margin</b> |  | (NA)  | <ul style="list-style-type: none"> <li>◇ Please download the format from the following</li> <li>※ Margin account customers only</li> <li><a href="http://www.interactivebrokers.co.jp/download/ibs/Acknowledgement%20for%20Setting%20a%20Margin%20Account.pdf">http://www.interactivebrokers.co.jp/download/ibs/Acknowledgement for Setting a Margin Account.pdf</a></li> </ul> |   |
| <b>Proof of identity and date of birth</b> | Please provide <b>one</b> of the following. Please note that one document cannot be used as multiple proof documents.  |   |   |   |
|  | <b>Proof of identity and date of birth</b>   | Driver's License  | Expiration Date   | <ul style="list-style-type: none"> <li>◇ Both front &amp; back sides are required.</li> <li>◇ If the document has Permanent Address, please hide the field.</li> </ul>  |
|  |  | Passport  |   | <ul style="list-style-type: none"> <li>◇ Photo and Address pages are required.</li> </ul>   |
|  |  | Residential Card (Zairyu card)<br>【Non-Japanese citizens】   |   | <ul style="list-style-type: none"> <li>◇ Both front &amp; back sides are required.</li> <li>【IMPORTANT】 Mandatory requirement for Non-Japanese citizens.</li> <li>【IMPORTANT】 Alien registration card cannot be accepted</li> </ul>   |
|  | Please provide <b>one</b> of the following. Please note that one document cannot be used as multiple proof documents.  |   |   |   |
|  | Driver's License   |   | <ul style="list-style-type: none"> <li>◇ Both front &amp; back sides are required.</li> <li>◇ If the document has Permanent Address, please hide the field.</li> </ul>  |   |

|   |                                     |                                      |   |   |  |
|---|-------------------------------------|--------------------------------------|---|---|--|
| <b>Proof of CEO &amp; Controller</b>                      | <b>Proof of Residential Address</b> | Health Insurance                     | Expiration Date   | <p><b>【Card Type】</b><br/>         ◇Address on front side, please submit front page only.<br/>         ◇No address on back side, please submit both front and back sides.<br/> <b>※Please note that IBLLC can not accept proof of address if address is hand-written.</b></p> |  |
|   |                                     | Resident Register Card               |   | <p><b>【Paper Type】</b><br/>         ◇The document must include Name, Address, and Date of Birth. <b>※Please note that IBLLC can not accept proof of address if address is hand-written.</b></p>   |  |
|   |                                     | Transcript of family register        | Less than 6 months old  |   | <p>◇Document must contain 1) name, 2) current address, 3) issue date, 4) Date of birth<br/> <b>※If the document has Permanent Address, please hide the field.</b></p>  |
|   |                                     | Certificate of Residence "Jyuminhyo" |   |   |  |
|   |                                     | Seal registration certificate        |   |   |  |
|   |                                     | Utility Bill                         |   |   | <p>◇Electronic, Gas, Water, Landline Phone bills are acceptable. Mobile phone bills are not acceptable. Document must contain 1) name, 2) current address, 3) issue date, 4) issuer.<br/>         ◇Name and Address in the document must match those in your IBLLC application.</p>  |
|   |                                     | Bank or Brokerage Statement          |   |   | <p>◇The document must include Name, Bank/Broker's name, Address, and Issue Date.<br/>         ◇The Name and Address in the document must match those in your IBLLC application<br/>         ◇Customer and bank must be from a country that is a member of the Financial Action Task Force on Money Laundering (see <a href="http://www.fatf-gafi.org">http://www.fatf-gafi.org</a>).</p> |
|   |                                     | Government Issued Letters            |   |   | <p>◇The document must include Name, Issuer, Address, and Issue Date.</p>   |
| Residential Card (Zairyu card)<br>【Non-Japanese citizens】 | Expiration Date                     |                                      | <p>◇Both front &amp; back sides are required.<br/> <b>【IMPORTANT】</b> Mandatory requirement for Non-Japanese citizens.<br/> <b>【IMPORTANT】</b> Alien registration card cannot be accepted</p> |   |  |

※The documents which do not have Name, Residential Address, Date of Birth are insufficient.

※If Name or Address registered in your application does not match with the submitted proof documents, IB may not be able to approve your application.

## 2. Submission method

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| Acceptable format for scanned documents<br>(.gif .tiff .tif .jpeg .jpg .jpe .png .bmp .pdf)<br>* Please enter your IB Account Number (UXXXXXX) in email subject. | Email Address:<br><br><p style="text-align: center;"><a href="mailto:newaccounts@interactivebrokers.com">newaccounts@interactivebrokers.com</a></p> |
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Please contact IB Customer Service (03-4588-9700) if you have any issues submitting files.