

Pionex US Institution Due Diligence List

1. A copy of the original **Certificate of Incorporation** and **Business Registration** (if applicable).
2. Stamped **Memorandum and Articles of Association / Constitution / By-laws / Operating Agreement**.
3. A **Letter of Authorization**. Please issue a letter to Pionex Inc., authorizing the authorized person to, on behalf of the company, open an account on www.pionex.us, conduct any and all transactions, collect transaction confirmation and information, and instruct Pionex US to deposit, withdraw, transfer funds or assets in the company account. This letter shall be duly signed by company director who has full authority to sign the letter. If using a template, please ensure it is customized to fit your own situation.
4. Certified **ROM** and **ROD**, or an **incumbency** within 3 months.
5. **Ownership Structure**, signed and dated by at least one director.
6. A **Link** to the government website that contains your company details, allowing verification of the registration's authenticity. If there is no search function on the government website for the company details, please provide a **Certificate of Good Standing** or a **Certificate of Incumbency** which was issued within the last 3 months instead.
7. **Passport or Government ID** of company director(s), authorized person(s) and beneficiary owner(s).
Beneficiary owner(s) shall mean any person(s) who owns 25% or more shares of the entity, either directly or indirectly.
8. **Proof of Address** (such as utility bills, or bank statements) of company director(s), authorized person(s) and beneficiary owner(s).
9. Please describe your **Principle Business Address**, and provide proof of such address. We accept bank statement, tax bill or lease agreement as proof of address. In case of bank statement or tax bill, the document shall be dated within 6 months prior to date of application.
10. Description and proof of **Sources of Funds** (e.g. bank statement).
11. Any registration with or license issued by any federal or state regulatory authority, for example, MSB registration, SEC license or State MTL license (if applicable).

12. Company's AML policy and procedures (if applicable).

13. Independent review or audit report on your AML policy and procedures (if applicable).

14. Please answer the **Questions** below:

(1). Is any director/beneficiary owner of the company an Politically Exposed Person?

(2). Has the entity/any director/beneficiary owner of the company ever been sanctioned?

(3). Does any director/ beneficiary owner of the company have criminal record?

(4). What's company's main business?

(5). What's your purpose of opening an account with Pionex Inc.?

(6). Estimated monthly volume of deposit and withdraw (in USD).

(7). Referral Code (if any)

15. Contact Information

Name of contact: _____

Phone number: _____

Email: _____

Mailing address: _____

16. Company hereby confirms that:

(1) All the documents and information provided in accordance with this list are authentic, accurate and complete. All copies of documents provided are identical with the original version.

(2) By completing this List, I have read, understood and agreed to be bound by all of the terms and conditions of Pionex.US User Agreement, Privacy Policy, Risk Disclaimer, User Conduct Code (which are available on <https://pionex.us/en-US/>) and any other agreements that may become applicable. Moreover, I agree that Pionex Inc. has the right to amend, modify, update and change any of the terms and conditions contained in the documents mentioned above from time to time. The changes will be effective on me once published on <https://pionex.us/en-US/> or their App.

By checking "I agree with the above" button shall be the legal equivalent of your manually signing this List.

☐ I agree with the above.

☐ I disagree.

Submitted by: _____ on behalf of _____(company's name)

Dated: _____

Notes:

Please use the Registered Email to send completed <Pionex US Institution Due Diligence list> and requested documents to compliance.operation@pionex.us, and use "entity name-account opening" as email subject.

Our compliance team will process your application, during which we may ask for additional information or documents. If application approved, we will notify you by email.

Reminder:

Please keep Pionex US updated for any change to the information and documents provided through your application, by sending an email to compliance.operation@pionex.us within 7 days of such changes.