



Investor Onboarding Checklist

Required Investor Documentation



New Account Application - Entity

This is an application to become a broker-dealer customer of CCMX. The purpose of the application is to collect the information required to perform the broker-dealer due diligence and AML review and open the brokerage account.



Suitability Attestation

The attestation confirms the financial sophistication and eligibility of an investor to participate in a Carta Cross transaction. This attestation must be submitted for the legal entity that makes the investment decisions for the account. All accounts that meet the Institutional account definition must fill out the first part of the Attestation - Institutional Investor Certificate. All other accounts must fill out the second part-Accredited Investor Questionnaire.



Agent Authorization (required only if applicable)

A legal entity looking to open an account with CCMX that has granted a manager, adviser or other separate legal entity investment discretion over the account would need to provide a document attesting to the discretionary authority. If the entity does not have its own document to that effect, it can use the CCMX Agent Authorization Template.



Certificate of Authority (required only if applicable)

For each authorized person on the account, the legal entity will have to provide a document that confirms that person's signing authority for the account. If the entity does not have its own document to that effect, it can use the CCMX Certificate of Authority Template.



Non-Disclosure Agreement (NDA)

The NDA ensures confidential treatment of all issuer disclosure provided to potential investors. A customer may be required to sign an NDA at different points in the process - such as ahead of an Investor Day or as part of the order entry process on the CartaX platform.



Brokerage Account Agreement

This agreement governs the relationship between the customer and CCMX as its broker-dealer and contains standard broker-dealer provisions and representations.



Supplemental Documents and Disclosures

These are provided together with the Brokerage Account Agreement and contain required regulatory disclosures, such as Form CRS, customer complaints, and business continuity disclosures, as well as e-sign consent, privacy and security policy, and other relevant documents.



CartaX Supplement (incorporated in the Brokerage Account Agreement)

The supplement outlines the specific terms for trading on the CartaX ATS, including specific eligibility and documents requirements, order handling, execution and settlement, etc. This supplement is applicable only to customers that trade on CartaX.



Customer Transfer Agent Authorization (Incorporated in the Brokerage Account Agreement)

Authorization given by the customer to CCMX to act as its agent in respect to Carta, Inc. as a Transfer Agent and give instructions to the Transfer Agent in connection with the trading on CartaX and cancellation and issuance of certificates.



Stock Purchase Agreement

This is the bilateral agreement between the buyer and the seller that governs the sale and purchase of securities on the ATS.

For more information, contact investor_coverage@cartacapitalmarkets.com