

To Superannuation Fund and Trust Application form

Please complete ALL SECTIONS in full using BLOCK CAPITALS.

GAIN Capital Australia PTY Ltd (ACN 141774727, AFSL 345646) would like to thank you for your interest in our products.

The step-by-step process set out below will help you complete the Application Form.

1 - Partnerships

Where Account is to be in the name of a Partnership, complete details below and complete the personal details for each Partner in Section 4A & 4B below.

Partnership Trading Name

Business Address

Address Line 1

Address Line 2

Address Line 3

Town

Postcode

Country

Postal Address

Address Line 1

Address Line 2

Address Line 3

Town

Postcode

Country

Main Contact

No of Partners

Country where the Partnership was established

Phone Contacts (Please tick to indicate preferred contact number)

Home

Work

Mobile

Fax

Email

ABN

2 - Superannuation Funds and Trusts

For Superannuation Funds and Trusts, please provide the following details as per the Trust or Fund Deed.

Trust Name

Fund Name

Date of Deed

Country in which the Trust was established

Trustee Details

Company as Trustee (Complete Section 3 below)

Individual(s) as Trustee (Complete Section 4A & 4B)

3 - Company

To be completed if you are a:

Corporate Applicant acting in their own capacity; OR

Company as Trustee

* See our website for documentation to be lodged with this application

COMPANY DETAILS

Company Name

Registered Business Address

Address Line 1

Address Line 2

Address Line 3

Town

Postcode

Country

Principle place of business/company's local agent's address

Address Line 1

Address Line 2

Address Line 3

Town

Postcode

Country

Main Contact

Phone Contacts (Please tick to indicate preferred contact number)

Home

Work

Mobile

Fax

Email

ACN

ARBN

Other
registration
number**Company Type** (Please tick where it is appropriate)

Australian Incorporated Company

Registered Foreign Company

Unregistered Foreign Company

Private/Proprietary Company

Public Company

LEI (Legal Entity

Identifier) code:

(From 1 October all companies will need a LEI to trade).

Place of Registration/ Incorporation ((e.g. NSW)

State

(if registered
in Australia)

Country

(if not registered in
Australia)

Registration Body

Full Name

(if registered in
Australia)**4A - Personal Details – Director/Trustee/Partner 1#**

To be completed for:

Company Director - Sole (where there is more than one Director, at least one other Director should complete Section 4B)

Each Partner, where the Account is to be in the name of a Partnership; OR

Individual as Trustee (where there is more than one Trustee, each subsequent Trustee should complete Section 4B)

Title Mr Mrs Miss Ms Dr

Other Please specify

Date of Birth

Surname

Given Names

Residential Address

Address Line 1

Address Line 2

Address Line 3

Town

Postcode

Country

Postal Address

Address Line 1

Address Line 2

Address Line 3

Town

Postcode

Country

Medicare Number

Driver Licence

Expiry Date

Passport Number

Place of Birth

Tax File Number

No of years with current employer years

Salary band	0 - \$20k	\$20 - \$30k	\$30 - \$50k
	\$50 - \$75k	\$75 - \$100k	\$100k+

City Index Compliance Questions

- How often have you traded shares on an execution-only basis in the past 12 months?

Frequently	Regularly
Occasionally	Never
- How often have you traded on margin in CFDs, Futures, Options or FX in the past 12 months on an execution only basis?

Frequently	Regularly
Occasionally	Never
- How many years' experience do you have trading shares on an execution only basis?

5+ years	1 - 4 years
Less than 1 year	None
- How many years' experience do you have trading on margin in CFDs, Futures, Options or FX on an execution only basis?

5+ years	1 - 4 years
Less than 1 year	None
- Have you traded derivatives on margin for your employer in a professional capacity in the past 5 years?

Yes	No
-----	----
- We offer leveraged products that are high risk. Do you understand that you can lose more than your initial investment if your transaction does not perform as you expect?

Yes	No
-----	----
- Do you recognise that it is your responsibility to monitor your account and use risk management tools such as Stop Losses where appropriate to reduce any potential loss you may incur?

Yes	No
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4B - Personal Details – Director/Trustee/Partner 1#

To be completed for:

Subsequent Directors

Subsequent Partners, where the Account is to be in the name of a Partnership; OR

Subsequent Individual as Trustee (where there is more than one Trustee)

Title Mr Mrs Miss Ms Dr

Other Please specify

Date of Birth

Surname

Given Names

Residential Address

Address Line 1

Address Line 2

Address Line 3

Town

Postcode

Country

Postal Address

Address Line 1

Address Line 2

Address Line 3

Town

Postcode

Country

Do you own your own home Yes No

Time at current address (yrs) 0-1 1-2 2-3 3+

Medicare Number

Driver Licence

Expiry Date

Passport Number

Place of Birth

Tax File Number

No of years with current employer years

Salary band	0 - \$20k	\$20 - \$30k	\$30 - \$50k
	\$50 - \$75k	\$75 - \$100k	\$100k+

City Index Compliance Questions

1) How often have you traded shares on an execution-only basis in the past 12 months?

Frequently	Regularly
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Occasionally	Never
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2) How often have you traded on margin in CFDs, Futures, Options or FX in the past 12 months on an execution only basis?

Frequently	Regularly
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Occasionally	Never
--------------	-------

3) How many years' experience do you have trading shares on an execution only basis?

5+ years	1 - 4 years
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Less than 1 year	None
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4) How many years' experience do you have trading shares on an execution only basis?

5+ years	1 - 4 years
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Less than 1 year	None
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5) Have you traded derivatives on margin for your employer in a professional capacity in the past 5 years?

Yes	No
-----	----

6) We offer leveraged products that are high risk. Do you understand that you can lose more than your initial investment if your transaction does not perform as you expect?

Yes	No
-----	----

7) Do you understand that small movements in an underlying security can result in your transaction incurring much larger profits or losses and that the more leverage that is available the greater this effect will be?

Yes	No
-----	----

8) Do you recognise that it is your responsibility to monitor your account and use risk management tools such as Stop Losses where appropriate to reduce any potential loss you may incur?

Yes	No
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Section 4C – Personal Details – Beneficial Owner / Beneficiary 1#

(To be completed if you are a Private/Proprietary Company applicant or a Trust applicant)

Beneficial Owner*

* Beneficial Owner means any individual who owns through one or more share holdings more than 25% of the issued capital of the company.

BENEFICIAL OWNER 1

Full Given Name

Surname

Residential Address

Address Line 1

Address Line 2

Address Line 3

Town

Postcode

Country (if not
Australia)

Medicare Number

Driver Licence

Expiry Date

Passport Number

Place of Birth

Tax File Number

Section 4D – Personal Details – Beneficial Owner / Beneficiary 2[#]

(To be completed if you are a Private/Proprietary Company applicant or a Trust applicant)

BENEFICIAL OWNER 2

Full Given Name

Surname

Residential Address

Address Line 1

Address Line 2

Address Line 3

Town

Postcode

Country (if not
Australia)

Medicare Number

Drivers License
Number

Expiry Date

Passport Number

Place of Birth

Tax File Number

Section 5 – Tax File Number

(Not applicable to non-Australia resident entities)

Tax File Number

Quoting the Tax File Number is not compulsory. However, if you do not provide your tax file number, any applicable taxation will be charged at the highest rate.

Section 6 – Authorised Person[#]

Will anyone other than the individuals specified in Sections 4A & 4B be trading on your account?

Yes No

If yes, please provide us with the details below.

Title Mr Mrs Miss Ms Dr

Other Please specify

Date of Birth

Surname

Given Names

Residential Address

Address Line 1

Address Line 2

Address Line 3

Town

Postcode

Country

Medicare Number

Driver Licence

Expiry Date

Passport Number

Place of Birth

Tax File Number

Phone Contacts (Please tick to indicate preferred contact number)

Home

Work

Mobile

Fax

[#] In order to satisfy our obligations under the Anti-money Laundering and Counter Terrorism Financing Act 2006, we must verify your identity before you can begin trading with us. To conduct an electronic verification we require at least TWO identification information (providing all identification numbers is highly recommended). Certified documentation verifying your identity will be required if you do not provide us your identification numbers or if we are unable to verify you for any reason. For detailed information on certification requirements, please see our website or contact us directly.

Section 7 – Bank Details

(to be completed by all applicants)

Account Name

Bank

Branch Address:

Address Line 1

Address Line 2

Address Line 3

Town

Postcode

BSB number

Account number

Section 8 – Your preferences

1) Select your account type:

CFD Account FX Account

2) Select your base currency:

AUD GBP
EUR USD

Section 9 – Declaration And Signatures

- We understand that City Index Australia Pty Ltd (ACN 141 774 727) is the CFD issuer. By signing below, we apply to open a trading account with City Index Australia Pty Ltd (“City Index”);
- We have received the Product Disclosure Statement (PDS), Customer Agreement and Financial Services Guide and consent to be provided with these documents in electronic form;
- We agree that City Index will deal in its derivative products and provide its services to me on the terms and conditions of the Customer Agreement and PDS (as amended, supplemented or replaced from time to time);
- We understand and give our consent to receive documents such as trade confirmations, daily statements, monthly statements, receipt of margin in electronic form;
- We declare that the information contained in this application is true and correct and we will notify City Index in writing if the information contained in this application materially changes or ceases to be correct;
- We have given consideration to our company/partnership/trust’s objectives, financial needs, and the risk of loss which accompany the prospects of profit associated with dealing in City Index Products, and formed the opinion that they are suitable for our company/partnership/trust’s circumstances and purposes. We acknowledge that City Index has not provided me/us with advice on the appropriateness of the product to our company/partnership/trust’s circumstances. We have not made an application for an account with City Index in reliance on, or as a result of, any conduct, advice or statement made by City Index;
- We understand and agree that City Index may vary, update or replace the Customer Agreement and PDS at any time when City Index reasonably considers necessary by providing us 14 days prior notice;
- We understand that where we have opened more than one Account with City Index, City Index will treat such Accounts as entirely separate from each other.
- We consent to City Index collecting, maintaining, using and disclosing personal information about us and provided by us or by another person as described in the Privacy Statement contained in the PDS.

Company Resolution

- We hereby certify that a meeting of directors was duly held by the company. The meeting resolved that:
 - a) it is in the best interest of the company to open accounts with City Index for the purpose of trading CFDs;
 - b) the Directors and Authorised Person have the power to do all of the following acts and actions necessary in connection with the account(s) and CFD transactions effected therein:
 - To open one or more accounts in the name of the Company with City Index for the purpose of trading in CFDs, and to execute in the name of the company and execute and deliver to City Index any and all agreements, documents, instruments or notices necessary to the opening, maintenance and trading of such account(s);
 - To buy, sell and trade and agree to buy, sell and trade CFDs on margin or otherwise, which power shall include the power to sell “short”;
 - To promptly comply with any requirement for additional margin and receive any notice of intention to liquidate, and any notice or demand of any other nature;
 - To borrow funds from City Index (on a secured or unsecured basis, as permitted by City Index) or its affiliates to finance any CFD transactions effected through or with City Index; and

- To take such other actions as may be necessary or desirable to carry out the intent of the foregoing and the satisfaction of each and every obligation of the Company in connection with the account and CFD transactions effected therein.

Trust Resolution (including Superannuation Fund)

- The Trustees represent and warrant to City Index that the Trust Deed of the Trust, as amended from time to time, authorizes the Trustees and the authorised person:
 - a) to open one or more accounts in the name of the trustees with City Index for the purpose of trading in CFDs;
 - b) to execute and deliver to City Index any agreements, documents, instruments or notices necessary to the opening, maintenance and/or trading of such account(s);
 - c) jointly and severally authorised to operate the trading accounts with City Index; and
 - d) to use the trust assets to buy, sell and trade CFDs on margin.
- City Index is authorized to rely and act upon the above representations and warranties until such time as City Index shall be notified otherwise in writing. The Trust and the trustees will indemnify City Index and hold City Index harmless from and against any liability, loss, cost or expense it incurs in continuing to act in reliance upon these representations and warrantees.

Partnership Declaration

- The Partners represent and warrant to City Index that the Partnership Agreement, as amended from time to time, authorizes the Partners and the authorised person:
 - a) to open one or more accounts in the name of the partnership with City Index for the purpose of trading in CFDs;
 - b) to execute and deliver to City Index any agreements, documents, instruments or notices necessary to the opening, maintenance and/or trading of such account(s);
 - c) jointly and severally authorised to operate the trading accounts with City Index; and
 - d) to use the assets of the partnership to buy, sell and trade CFDs on margin.
- City Index is authorized to rely and act upon the above representations and warranties until such time as City Index shall be otherwise in writing. The Partnership and the partners will indemnify City Index and hold City Index harmless from and against any liability, loss, cost or expense it incurs in continuing to act in reliance upon these representations and warrantees.

Director 1/Trustee 1/ Partner 1

Print Name

Date (DDMMYYYY)

Director 1/Trustee 1/ Partner 1

Print Name

Date (DDMMYYYY)

AFS LICENSEE DETAILS

Name: GAIN CAPITAL AUSTRALIA PTY LTD

ACN: 141774727

AFSL: 345646

Address: 100 HARRIS STREET, PYRMONT, NSW 2009