Application Form

Company & Partnership Accounts

Please complete this form, then email it to us

at **newaccounts.au@forex.com**

StoneX Financial Pty Ltd trading as FOREX.com (ACN 141774727, AFSL 345646) would like to thank you for your interest in our products. The step-by-step process guide provided with this form will help you complete the required fields.

How to complete this form:

- If you're a company complete sections 1, 3, 4 & 5 of the form
- If you're a partnership complete all sections of the form
- The following documentation is required

o For Companies:

- The Company's ASIC registration details
- For each Beneficial Owner, Directors and Authorised Users, a Passport / Driving Licence. If the individual is residing outside of Australia, proof of residential address must also be provided, such as a utility bill, bank or credit card statement which must be dated within the last 3 months.

o For Partnerships:

- Certified copy of the partnership agreement OR
- Certified extract of the partnership agreement
- For each partner & authorised user – a Passport / Driving Licence. If the individual is residing outside of Australia, proof of residential address must also be provided, such as a utility bill, bank or credit card statement which must be dated within the last 3 months.

o Deed of Guarantee and Indemnity –
Signed by one Director/Partner/Beneficial Owner.

Please see this guide for a detailed explanation on how to complete this form, alternatively you can also call us **1800 354 182.**

Please complete ALL SECTIONS in full using BLOCK CAPITALS.

SECTION 1 – COMPANY

COMPANY DETAILS

Company Name

Registered Business Address

Address Line 1

Address Line 2

Address Line 3

Town

Postcode

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

Address Line 1

Address Line 2

Address Line 3

Town

Postcode

Main Contact

Phone Contacts (Please tick ☑ to indicate preferred contact number)

Work

Mobile

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 not registered in Australia)

SECTION 2 – PARTNERSHIPS

If the account is to be in the name of a Partnership, please complete the details below and sections 3A and 3B with the personal details for each Partner.

Partnership Trading Name

Business Address

Address Line 1

Address Line 2

Address Line 3

Town

Postcode

Postal address

Address Line 1

Address Line 2

Address Line 3

Town

Postcode

Main Contact

No of partners

Country where the partnership was established

Phone Contacts (Please tick ☑ to indicate preferred contact number)

Work

Mobile

Email

ABN

Section 3A – Personal Details – Director/Partner 1

To be completed for:

Company Director - Sole (where there is more than one Director, at least one other Director should complete Section 3B)

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

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

Postal Address

Address Line 1

Address Line 2

Address Line 3

Town

Postcode

Phone Contacts (Please tick ☑ to indicate preferred contact number)

Work

Mobile

Email

Please provide one of the following identification details

Driver licence number

Expiry Date

Passport Number

Place of Birth

Gross Annual Income (AUD)

- Over $200,000
- $120.000 - $199,999
- $80,000 - $119,999
- $50,000 - $79,999
- $20,000-$49,999
- less than $20,000

Your Experience

As part of our regulatory obligations we are required to ask about your relevant experience to assess whether our products are appropriate for you. Failure to provide accurate responses may affect our ability to approve your application for a trading account with us.

1) How often have you traded CFDs, futures, options or margined foreign exchange in the past 12 months on an execution only basis?

- Frequently
- Regularly
- Occasionally
- Never

2) How often have you traded shares and/or bonds in the past 12 months on an execution only basis?

- Frequently
- Regularly
- Occasionally
- Never

3) Do you have relevant work experience or professional qualifications?

- Yes
- No

4) Which of the following best describes your highest risk tolerance?

- I am able and willing to bear losses exceeding the amount invested
- I am able and willing to bear total losses of the amount invested
- I am willing to bear limited losses
- I cannot bear any losses

5) What is your investment objective for trading CFD FX products?

- I am comfortable accepting the price fluctuations similar to the stock market I am targeting speculative returns and am comfortable experiencing extreme price fluctuations, even in the short term (days or weeks)
- I want to incur price fluctuations typically lower than the stock market high capital growth and/or long-term income focus
- I want to experience limited price fluctuations moderate capital growth or income returns
- A defensive or (capital) preservation approach when investing

6) What is your investment strategy when trading CFD FX contracts

- Component of a portfolio
- Standalone or core investment
- Hedging existing portfolio
- Speculation

FOREX.com

Section 3B – Personal Details – Director/Partner 2

To be completed for:

- [ ] Subsequent Directors
- [ ] Subsequent Partners, where the Account is to be in the name of a Partnership

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

Postal Address

Address Line 1

Address Line 2

Address Line 3

Town

Postcode

Phone Contacts (Please tick ☑ to indicate preferred contact number)

Work

Mobile

Email

Please provide one of the following identification details

Driver licence number

Expiry Date

Passport Number

Place of Birth

Gross Annual Income (AUD)

○ Over $200,000 ○ $120.000 - $199,999 ○ $80,000 - $119,999

○ $50,000 - $79,999 ○ $20,000-$49,999 ○ less than $20,000

Your Experience

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1) How often have you traded CFDs, futures, options or margined foreign exchange in the past 12 months on an execution only basis?

○ Frequently ○ Regularly

○ Occasionally ○ Never

2) How often have you traded shares and/or bonds in the past 12 months on an execution only basis?

○ Frequently ○ Regularly

○ Occasionally ○ Never

3) Do you have relevant work experience or professional qualifications?

○ Yes ○ No

4) Which of the following best describes your highest risk tolerance?

○ I am able and willing to bear losses exceeding the amount invested

○ I am able and willing to bear total losses of the amount invested

○ I am willing to bear limited losses

○ I cannot bear any losses

5) What is your investment objective for trading CFD FX products?

○ I am comfortable accepting the price fluctuations similar to the stock market I am targeting speculative returns and am comfortable experiencing extreme price fluctuations, even in the short term (days or weeks)

○ I want to incur price fluctuations typically lower than the stock market high capital growth and/or long-term income focus

○ I want to experience limited price fluctuations moderate capital growth or income returns

○ A defensive or (capital) preservation approach when investing

6) What is your investment strategy when trading CFD FX contracts

○ Component of a portfolio

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○ Speculation

Section 3C – Personal Details – Beneficial Owner 1

(To be completed if you are a private/proprietary Company 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)

Please provide one of the following identification details

Driver licence number

Expiry Date

Passport Number

Place of Birth

Gross Annual Income (AUD)
- Over $200,000
- $120.000 - $199,999
- $80,000 - $119,999
- $50,000 - $79,999
- $20,000-$49,999
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- Regularly
- Occasionally
- Never

2) How often have you traded shares and/or bonds in the past 12 months on an execution only basis?
- Frequently
- Regularly
- Occasionally
- Never

3) Do you have relevant work experience or professional qualifications?
- Yes
- No

4) Which of the following best describes your highest risk tolerance?
- I am able and willing to bear losses exceeding the amount invested
- I am able and willing to bear total losses of the amount invested
- I am willing to bear limited losses
- I cannot bear any losses

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6) What is your investment strategy when trading CFD FX contracts?
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Section 3D – Personal Details – Bene icial Owner 2

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

Gross Annual Income
- Over $200,000
- $120.000 - $199,999
- $80,000 - $119,999
- $50,000 - $79,999
- $20,000-$49,999
- less than $20,000

Please provide one of the following identification details

Driver licence number

Expiry Date

Passport Number

Place of Birth

Your Experience

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3) Do you have relevant work experience or professional qualifications?

- Yes
- No

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Section 4 – Authorised Person

Will anyone other than the individuals specified in Section 3 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

Please provide one of the following identification details

Driver licence number

Expiry Date

Passport Number

Place of Birth

Phone Contacts (Please tick ☑ to indicate preferred contact number)

Work

Mobil

Gross Annual Income

- Over $200,000
- $120.000 - $199,999
- $80,000 - $119,999
- $50,000 - $79,999
- $20,000-$49,999
- less than $20,000

Your Experience

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○ Occasionally ○ Never

3) Do you have relevant work experience or professional qualifications?

○ Yes ○ No

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Your preferences

1) Select your account type:

○ Standard CFD Account ○ Standard Meta Account

2) Select your base currency

○ AUD ○ USD

Section 5 – Declaration And Signatures

- We understand that StoneX Financial Pty Ltd (ACN 141 774 is the CFD issuer. By signing below, we apply to open a trading account with StoneX Financial Pty Ltd trading as FOREX.com ("FOREX.com");
- 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 FOREX.com 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 FOREX.com in writing if the information contained in this application materially changes or ceases to be correct;
- We have given consideration to our company/partnership's objectives, financial needs, and the risk of loss which accompany the prospects of profit associated with dealing in FOREX.com Products, and formed the opinion that they are suitable for our company/partnership's circumstances and purposes. We acknowledge that FOREX.com has not provided me/us with advice on the appropriateness of the product to our company/partnership's circumstances. We have not made an application for an account with FOREX.com in reliance on, or as a result of, any conduct, advice or statement made by FOREX.com;
- We understand and agree that FOREX.com may vary, update or replace the Customer Agreement and PDS at any time when FOREX.com reasonably considers necessary by providing us 14 days prior notice;
- We understand that where we have opened more than one Account with FOREX.com will treat such Accounts as entirely separate from each other.
- We consent to FOREX.com 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 FOREX.com 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 for the purpose of trading in CFDs, and to execute in the name of the company and execute and deliver to FOREX.com 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 FOREX.com (on a secured or unsecured basis, as permitted by FOREX.com) or its affiliates to finance any CFD transactions effected through or with FOREX.com; 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.

Partnership Declaration

- The Partners represent and warrant to FOREX.com 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 FOREX.com for the purpose of trading in CFDs;
  b) to execute and deliver to FOREX.com 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 FOREX.com and
  d) to use the assets of the partnership to buy, sell and trade CFDs on margin.
- FOREX.com is authorized to rely and act upon the above representations and warranties until such time as FOREX.com shall be notified otherwise in writing. The Partnership and the partners will indemnify FOREX.com and hold FOREX.com 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/ Partner 1

Print Name

Date (DDMMYYYY)

Director 2/ Partner 2

Print Name

Date (DDMMYYYY)

Beneficial Owner 1

Print Name

Date (DDMMYYYY)

Beneficial Owner 2

Print Name

Date (DDMMYYYY)

Please email this completed form to
newaccounts.au@forex.com