

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	
Gross Annual Income (AUD)	Over \$200,000	\$50,000 - \$79,999
	\$120,000 - \$199,999	\$20,000-\$49,999
	\$80,000 - \$119,999	less than \$20,000

FOREX.com Compliance Questions

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

3B - 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

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Do you own your own home Yes No

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

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Driver Licence

Expiry Date

Passport Number

Place of Birth

Tax File Number

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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

Section 3C – 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

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Town

Postcode

Country (if not
Australia)

Medicare Number

Driver Licence

Expiry Date

Passport Number

Place of Birth

Tax File Number

Section 3D 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 4 – 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 5 – 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

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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 6 – 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 7 – Your preferences

1) Select your account type:

Standard CFD Account

Standard Meta Account

2) Select your base currency:

AUD

USD

Section 8 – Declaration And Signatures

- We understand that StoneX Financial Pty Ltd (ACN 141 774 727) is the CFD issuer. By signing below, we apply to open a trading account with StoneX Financial Pty Ltd ("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/trust'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/trust'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/trust'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:
 - it is in the best interest of the company to open accounts with FOREX.com for the purpose of trading CFDs;
 - 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 FOREX.com 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.

Trust Resolution (including Superannuation Fund)

- The Trustees represent and warrant to FOREX.com that the Trust Deed of the Trust, as amended from time to time, authorizes the Trustees and the authorised person:
 - to open one or more accounts in the name of the trustees with FOREX.com for the purpose of trading in CFDs;
 - 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);
 - jointly and severally authorised to operate the trading accounts with FOREX.com; and
 - to use the trust assets 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 Trust and the trustees 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 warranties.

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:
 - to open one or more accounts in the name of the partnership with FOREX.com for the purpose of trading in CFDs;
 - 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);
 - jointly and severally authorised to operate the trading accounts with FOREX.com; and
 - 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 warranties.

Director 1/Trustee 1/ Partner 1

Print Name

Date (DDMMYYYY)

Director 1/Trustee 1/ Partner 1

Print Name

Date (DDMMYYYY)

AFS LICENSEE DETAILS

Name: StoneX Financial Pty Ltd

ACN: 141774727

AFSL: 345646

Address: Suite 42.01, 264 George Street, Sydney, NSW 2000 Australia

Beneficial Owner 1

Print Name

Date (DDMMYYYY)

Beneficial Owner 2

Print Name

Date (DDMMYYYY)

AFS LICENSEE DETAILS

Name: StoneX Financial Pty Ltd

ACN: 141774727

AFSL: 345646

Address: Suite 42.01, 264 George Street, Sydney, NSW 2000 Australia