

Application Form

Company & Partnership Accounts

StoneX Financial Pty Ltd trading as StoneX Trading (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 sections 2, 3, 4 & 5 of the form
- The following documentation is required

o For Companies:

- The Company's registration details with the New Zealand Companies Office
- For each Beneficial Owner, Directors and Authorised Users, a Passport / Driving Licence, a 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, a 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 two Directors/Partners.

o Self-certification for Entities –

Signed by two Directors/Partners.

o Wholesale Certificate –

Issues by a qualified accountant.

Please see this guide for a detailed explanation on how to complete this form, alternatively you can also call us **+64 497 494 85**

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 0 to indicate preferred contact number)

Work

Mobile

Email

NZBN

Other registration number

Company Type (Please tick 0 where it is appropriate)

New Zealand Incorporated Company

Registered Foreign Company

Unregistered Foreign Company

Private/Proprietary Company

Public Company

LEI (Legal Entity Identifier) code:

All companies will need a LEI to trade)

Place of Registration/ Incorporation

Country

(if not registered in New Zealand)

Registration Body

Full Name

(if not registered in New Zealand)

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 0 to indicate preferred contact number)

Work

Mobile

Email

NZBN

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 0 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

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

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.

- How often have you traded shares and/or bonds 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 and/or bonds 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

- Do you have relevant work experience or professional qualifications?

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

Yes	No
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- 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
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- 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 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 0 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

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

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.

- How often have you traded shares and/or bonds 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 and/or bonds 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
- Do you have relevant work experience or professional qualifications?

Yes	No
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- 6) We offer leveraged products that are high risk. Do you understand that you can lose 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

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

Date of Birth

Residential Address

Address Line 1

Address Line 2

Address Line 3

Town

Postcode

Country (if not New Zealand)

Please provide one of the following identification details

Driver licence number

Expiry Date

Passport Number

Place of Birth

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

Section 3D - Personal Details - Beneficial Owner 2

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

BENEFICIAL OWNER 2

Full Given Name

Surname

DOB

Residential Address

Address Line 1

Address Line 2

Address Line 3

Town

Postcode

Country (if not New Zealand)

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

Please provide one of the following identification details

Driver licence number

Expiry Date

Passport Number

Place of Birth

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 0 to indicate preferred contact number)

Work

Mobile

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

Authorised Person's Experience

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

- How often have you traded shares and/or bonds 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 and/or bonds 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
- Do you have relevant work experience or professional qualifications?

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

Yes	No
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- 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
-----	----
- 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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