

Application form - Superannuation Fund and Trust

Please complete ALL SECTIONS in full using BLOCK CAPITALS

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:

- For corporate trustee, complete all sections of the form
- For individual trustee, complete 1, 3, 4, 5 of the form
- The following documentation is required:

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.
- Deed of Guarantee and Indemnity - Signed by two Directors/Trustees
- Self-certification for Entities (for corporate trustee) - Signed by two Directors
OR
- Self-certification for Individual (for individual trustee) - Completed by two Trustees
- Wholesale Certificate - Issued by a qualified accountant

1 - 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

2 - Company

To be completed if you are a:

Company as a Trustee

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 R to indicate preferred contact number) Home

Work

Mobile

Fax

Address Line 3

Town

Postcode

Country

Driver Licence

Expiry Date

Passport Number

Place of Birth

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

Date of Birth

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

Driver Licence

Expiry Date

Passport Number

Place of Birth

Section 4 - Authorised Person#

Will anyone other than the individuals specified in Section 3A & 3B 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

Driver Licence

Expiry Date

Passport Number

Place of Birth

No of years with current employer years

Salary band 0 - \$20k \$20 - \$30k \$30 - \$50k

\$50 - \$75k \$75 - \$100k \$100k+

Phone Contacts

Please tick to indicate preferred contact number

Home

Work

Mobile

Fax

StoneX Trading Compliance Questions

- 1) How often have you traded shares and/or bonds on an execution-only basis in the past 12 months?
- | | |
|--------------|-----------|
| Frequently | Regularly |
| Occasionally | Never |
- 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 |
| Occasionally | Never |
- 3) 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 |
- 4) 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 |
- 5) Do you have relevant work experience or professional qualifications?
- | | |
|-----|----|
| Yes | No |
|-----|----|
- 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 5 - 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("StoneX Trading");
- 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 StoneX Trading 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 StoneX Trading 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 StoneX Trading Products, and formed the opinion that they are suitable for our company/partnership/trust's circumstances and purposes. We acknowledge that StoneX Trading 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 StoneX Trading in reliance on, or as a result of, any conduct, advice or statement made by StoneX Trading;
- We understand and agree that StoneX Trading may vary, update or replace the Customer Agreement and PDS at any time when StoneX Trading reasonably considers necessary by providing us 14 days prior notice;
- We understand that where we have opened more than one Account with StoneX Trading, StoneX Trading will treat such accounts as entirely separate from each other
- We consent to StoneX Trading 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 StoneX Trading 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 StoneX Trading for the purpose of trading in CFDs, and to execute in the name of the company and execute and deliver to StoneX Trading 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 StoneX Trading (on a secured or unsecured basis, as permitted by StoneX Trading) or its affiliates to finance any CFD transactions effected through or with StoneX Trading; 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.

StoneX[®] Trading

Trust Resolution (including Superannuation Fund)

- The Trustees represent and warrant to StoneX Trading 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 StoneX Trading for the purpose of trading in CFDs;
 - b) to execute and deliver to StoneX Trading 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 StoneX Trading; and
 - d) to use the trust assets to buy, sell and trade CFDs on margin.
- StoneX Trading is authorized to rely and act upon the above representations and warranties until such time as StoneX Trading shall be notified otherwise in writing. The Trust and the trustees will indemnify StoneX Trading and hold StoneX Trading 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

Print Name

Date (DDMMYYYY)

Director 2/Trustee 2

Print Name

Date (DDMMYYYY)

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 28.01, 264 George Street, Sydney, NSW 2000 Australia