

Instructions for completing this application

Please complete this form in **BLOCK LETTERS**. Once you have completed all relevant sections of the form, please email the form to support.au@capital.com together with the documentation listed in **Annexure A (and B if you are applying for a Wholesale Account)**.

Capital Com Australia Pty Ltd ("Capital Australia") is required to comply with the Anti-Money Laundering/Counter-Terrorism Financing Act 2006 and must identify customers before providing services to them. Applicants (including Beneficial Owners and Trustees) who do not already hold an account with Capital Australia **must** provide copies of their identification documents and corporate trust documents in order for this application to be considered. Approval of your application for a Corporate Trust Trading Account is in the sole and absolute discretion of Capital Australia.

Who should complete this application?

Applicant	Entity Type	Authorised Signatory	Sections to be completed
Company	<ul style="list-style-type: none"> ▪ Sole Proprietor ▪ Company ▪ Partnership 	<ul style="list-style-type: none"> ▪ Owner ▪ Sole Director and Sole Company Secretary or any two Directors or a Director and the Company Secretary ▪ All partners 	<ul style="list-style-type: none"> ▪ A; B; C; E; F; G; H; I
Trust/Super -	<ul style="list-style-type: none"> ▪ Sole Proprietor ▪ Company ▪ Partnership 	<ul style="list-style-type: none"> ▪ Owner ▪ Sole Director and Sole Company Secretary or any two Directors or a Director and the Company Secretary ▪ All partners 	<ul style="list-style-type: none"> ▪ A; B; D; E; F; G; H; I

What happens once my application is complete?

Once you have submitted your application, if all the information provided is complete and correct, it should take approximately 1 - 2 business days to verify and approve your application. If we require further information, one of our representatives will be in touch to let you know what additional documentation is required. You will receive an email informing you once your account has been opened.

A. Account Type

Please select the account you wish to apply for.

- Retail Account
- Professional (Wholesale) Account

Please refer to **Annexure B** for further information about our Professional (Wholesale) Account requirements.

B. Applicant Details (Authorised Person(s))

Please complete the details of the primary applicant for the account. The primary applicant is the person who will trade on the account and is also the primary contact person. The primary applicant must be an authorised by the Company.

Primary Applicant

First and Second Name(s)	
Surname	
Job Title / Position	
Email Address	
Primary contact number	
Secondary contact number	
Residential Address	
Duly Authorised	<input type="checkbox"/> Yes If yes, valid until _____. (DD/MM/YY) <input type="checkbox"/> No

Do you wish to nominate an alternative person to trade on this account? If yes, please complete the section below. Persons listed as alternative contacts must have the authority to perform certain activities and receive certain information on the Applicant's behalf.

Alternate Applicant

First and Second Name(s)	
Surname	
Job Title / Position	
Email Address	
Primary contact number	
Secondary contact number	
Residential Address	
Duly Authorised	<input type="checkbox"/> Yes If yes, valid until _____. (DD/MM/YY) <input type="checkbox"/> No

C. Company Details

Please note that we do not accept applications from companies that are not registered with the Australian Securities and Investments Commission (ASIC).

Full Name of Company	
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Company Type / Structure	<input type="checkbox"/> Sole Proprietor <input type="checkbox"/> Private Limited <input type="checkbox"/> Partnership/Joint Venture <input type="checkbox"/> Other (If other, please specify: _____)
Australian Company Number (ACN)	
Australian Business Number (ABN)	
Legal Entity Identifier (LEI)*	
Date of registration / incorporation	
Nature of business activity	
Registered office address:	
Street number	
Street name	
Suburb	
State / Territory	<input type="checkbox"/> VIC. <input type="checkbox"/> NSW. <input type="checkbox"/> WA. <input type="checkbox"/> QLD. <input type="checkbox"/> SA. <input type="checkbox"/> TAS. <input type="checkbox"/> NT. <input type="checkbox"/> ACT.
Post code	
Country	Australia
Principal place of business (If different to Registered office address)	
Street number	
Street name	
Suburb	
State / Territory	<input type="checkbox"/> VIC. <input type="checkbox"/> NSW. <input type="checkbox"/> WA. <input type="checkbox"/> QLD. <input type="checkbox"/> SA. <input type="checkbox"/> TAS. <input type="checkbox"/> NT. <input type="checkbox"/> ACT.
Post code	
Country	Australia

**A LEI is a unique identification code for entities which trade in financial markets. You cannot trade if you do not have a valid LEI.*

D. Trust Details

Please note that we only accept applications for corporate trusts incorporated in Australia.

Full Name of Trust	
Trust Type	
Date of Establishment	
Trustee Details:	
Australian Company Number (ACN)	
Australian Business Number (ABN)	
Legal Entity Identifier (LEI)*	
Date of registration / incorporation	
Nature of business activity	
Registered office address:	
Street number	
Street name	
Suburb	
State / Territory	<input type="checkbox"/> VIC. <input type="checkbox"/> NSW. <input type="checkbox"/> WA. <input type="checkbox"/> QLD. <input type="checkbox"/> SA. <input type="checkbox"/> TAS. <input type="checkbox"/> NT. <input type="checkbox"/> ACT.
Post code	
Country	Australia
Principal place of business (If different to Registered office address)	
Street number	

Street name	
Suburb	
State / Territory	<input type="checkbox"/> VIC. <input type="checkbox"/> NSW. <input type="checkbox"/> WA. <input type="checkbox"/> QLD. <input type="checkbox"/> SA. <input type="checkbox"/> TAS. <input type="checkbox"/> NT. <input type="checkbox"/> ACT.
Post code	
Country	Australia

**A LEI is a unique identification code for entities which trade in financial markets. You cannot trade if you do not have a valid LEI.*

E. Funding and Account Details

Approximate funds to be invested in trading	AUD: _____.
Source of funds	<input type="checkbox"/> Company funds <input type="checkbox"/> Other (if other, please specify: _____)
Purpose of trading account	<input type="checkbox"/> Short to medium term speculative trading <input type="checkbox"/> Hedging <input type="checkbox"/> Other (if other, please specify: _____)
Base Currency Preference	<input type="checkbox"/> AUD <input type="checkbox"/> USD <input type="checkbox"/> Other (if other, please specify: _____)

F. Previous Trading Experience

Does the Primary and Alternate Applicant have previous trading experience?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Has the Company / Trust traded leveraged products before?	<input type="checkbox"/> Yes <input type="checkbox"/> No

Does the Company /Trust understand the nature and risks associated with leveraged trading?	<input type="checkbox"/> Yes <input type="checkbox"/> No
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G. Director / Trustees Details

You must provide details of all of the Company Directors / Trustees.

Director or Trustee 1:

Title	<input type="checkbox"/> Ms. <input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Miss. <input type="checkbox"/> Dr. <input type="checkbox"/> Other
First and Second Name(s)	
Surname	
Date of birth	
Contact number	
Email Address	
Residential Address	
Approx. annual income before tax (last 3 years)	
Approx. value of savings and investments	
Source of income	

Director or Trustee 2:

Title	<input type="checkbox"/> Ms. <input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Miss. <input type="checkbox"/> Dr. <input type="checkbox"/> Other
First and Second Name(s)	
Surname	
Date of birth	
Contact number	
Email Address	
Residential Address	
Approx. annual income before tax (last 3 years)	

Approx. value of savings and investments	
Source of income	

Director or Trustee 3:

Title	<input type="checkbox"/> Ms. <input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Miss. <input type="checkbox"/> Dr. <input type="checkbox"/> Other
First and Second Name(s)	
Surname	
Date of birth	
Contact number	
Email Address	
Residential Address	
Approx. annual income before tax (last 3 years)	
Approx. value of savings and investments	
Source of income	

H. Beneficial Owner(s)

Beneficial Owner 1:

Title	<input type="checkbox"/> Ms. <input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Miss. <input type="checkbox"/> Dr. <input type="checkbox"/> Other
First and Second Name(s)	
Surname	
Date of birth	
Contact number	
Email Address	
Residential Address	
Ownership percentage	

Approx. annual income before tax (last 3 years)	
Approx. value of savings and investments	
Source of income	

Beneficial Owner 2:

Title	<input type="checkbox"/> Ms. <input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Miss. <input type="checkbox"/> Dr. <input type="checkbox"/> Other
First and Second Name(s)	
Surname	
Date of birth	
Contact number	
Email Address	
Residential Address	
Ownership percentage	
Approx. annual income before tax (last 3 years)	
Approx. value of savings and investments	
Source of income	

I. Account Declaration

Each person signing this application makes the following declarations for and on behalf of the Company and/or Corporate Trust Applicant (Applicant):

1. The Applicant acknowledges that it has read and understood Capital Australia's Terms and Policies all of which are accessible on the website: <https://capital.com/terms-and-policies>. Capital Australia's **Terms and Policies** includes but is not limited to, the **Product Disclosure Statement (PDS)**; **Financial Services Guide (FSG)**; **Client Agreement** and **Target Market Determination (TMD)**.
2. The Applicant acknowledges that it is able to download copies of the Terms and Policies directly from the website and that it will not be provided with copies without expressly requesting copies.
3. If the Applicant is applying for a professional (wholesale) account then the Applicant acknowledges that we are not required to provide it with a PDS, FSG or any other retail disclosure document. The Applicant acknowledges that it may not be entitled to the same protections offered to retail clients under the Corporations Act 2001 (Cth) and that it may also forfeit the right to complain to the Australian Financial Complaints Authority (AFCA).

4. The Applicant, by its signatories signing this application form, shall be and agrees to be bound by the Terms and Policies referred to above. Where the applicant is applying for a professional (wholesale) account then the Applicant is bound by the Terms and Policies that apply to professional (wholesale) accounts (where applicable).
5. The Applicant understands that CFD's are complex instruments and come with a high risk of losing money rapidly due to leverage. The Applicant declares that it understands the nature and risks associated with trading CFDs and that it can afford the risks. The Applicant also declares that, where required, it is authorised by the applicable corporation documents or trust deed to trade CFDs.
6. The Applicant confirms that the Primary and/or Alternative Applicant may sign any document in connection with the opening or operation of the Corporate Trust Trading Account, including (without limitation to give any oral or written instructions to Capital Australia with respect to the Corporate Trading Account/s. Any instruction given by the Primary or Alternative Applicant shall jointly and severally bind all Directors and/or Beneficial Owners.
7. The Applicant declares that where personal information (as defined in the Privacy Act 1988 (Cth)) about an individual (such as an officeholder (i.e., Director, Shareholder or Beneficial Owner) has been provided it is permitted to provide that information to Capital Australia and that the individual is aware of Capital Australia's [Privacy Policy](#) and the purposes of which their information may be used. By signing this form, the signatories agree to Capital Australia's Privacy Policy and also consent to Capital Australia contacting the Applicant about this application and Capital Australia's products or services (marketing).
8. The Applicant confirms that the signatories, and the directors, are aged 18 years or over and the information provided in this application form is true and correct and undertakes to notify Capital Australia in writing if there is any change to the Applicant's status such that any one or more of the statements above becomes untrue. The Applicant acknowledges that it is an offence under the Anti-Money Laundering/Counter Terrorism Financing Act 2006 to provide false or misleading information. In the event that you provide false or misleading information, we reserve the right to close out all of your open positions and terminate your account with immediate effect and Capital.com and its directors, officers and/or representatives shall not be liable for any losses (whether direct or indirect) incurred by you as a result.

J. Guarantee and Indemnity

9. The Applicant confirms that it is duly authorised to provide this guarantee and indemnity in the name of the Company / Corporate Trust and that it has sought independent legal advice before doing so, where required.
10. This Guarantee and Indemnity is given by the Applicant(s) named in this Trading Account Application and is given in favour of Capital Com Australia Pty Ltd (ABN 47 625 601 489) (Capital.com), a company registered in Australia and regulated by the Australian Securities and Investments Commission (ASIC) under AFSL 513393.
11. The Company / Corporate Trust named in this application shall incur liabilities and obligations when the Applicant enters into CFD transactions with Capital.com pursuant to the Client Agreement.
12. Following 11 above, the Applicant unconditionally and irrevocably guarantees the due and prompt payment of all money and any liabilities that become due and payable to Capital.com pursuant to its application for a Corporate / Company Trust Trading Account and under the Client Agreement. The Applicant also unconditionally and irrevocably guarantees the due and timely performance and observance of all other obligations it has under the Client Agreement.
13. If the Applicant fails, for any reason whatsoever, to pay any amount guaranteed above when such payment becomes due, I/we shall, as principal obligor, pay that amount to Capital.com on receiving its first written demand and I/we further agree to indemnify and keep Capital.com indemnified against all loss and/or damage incurred by Capital.com by reason of the Applicant's failure to fulfil all its obligations under the Client Agreement.
14. A written and signed certificate issued by Capital.com or on Capital.com's behalf stating the amount at any particular time that is due and payable by me/us shall be conclusive evidence of the payment obligation, save in the case of manifest error by Capital.com.
15. The Applicant's liability under this Deed will only be considered discharged once Capital.com receives payment in full of all monies owed to Capital.com under this Guarantee and Indemnity.
16. This Guarantee and Indemnity will not be discharged by any other action, omission or fact and therefore shall not be affected by:

- 16.1. Capital.com granting the Applicant any extension in time, indulgence or forbearance;
 - 16.2. the Applicant being wound up or undergoing a re-organisation;
 - 16.3. the Applicant acting or purporting to act beyond the power conferred on it by its Replaceable Rules, Constitution, Memorandum and Articles of Association (as applicable) or without the power or authority of its Board of Directors or otherwise by reason of any want of power to enter into any Contract for Difference with Capital.com; or
 - 16.4. any amendment made from time to time to the Client Agreement according to its terms and tenor or to the Product Disclosure Statement (PDS);
 - 16.5. Any receipt from any person other than me/us will reduce the outstanding balance only to the extent of the amount received.
17. This Guarantee and Indemnity is governed by and shall be interpreted in accordance with the laws of the State of Victoria and the Courts of competent jurisdiction in the State of Victoria will have exclusive jurisdiction to hear and determine any dispute arising out of the Guarantee and Indemnity.

EXECUTION SIGNATORIES – TO BE SIGNED BY ALL TRUSTEES

The Applicant(s) signature(s) below confirms my/our understanding and consent to all matters set out in this application form, including the Declaration and Guarantee and Indemnity.

By signing below, I/we confirm that the information contained in, and accompanying, this Application and all the information provided by me/us, is true, correct and complete and given in support of this application. I/We also declare that this application has been properly executed and I/we undertake to notify Capital Australia if there is any change to the Applicant’s status such that any one or more of the statements herein becomes untrue.

Name of signatory and guarantor	Date
Signature	

Name of signatory and guarantor	Date
Signature	

Name of signatory and guarantor	Date

Signature	
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Suitability Assessment

(Please select only one most applicable answer per question)

You buy AUD/USD at 0.76698. Which currency is the base of the pair?

USD

AUD

EUR

Which of the following statements are TRUE?

All CFD providers offer the same market conditions

CFD spreads are always fixed

CFDs are over-the-counter derivatives

Which one of the following statements are FALSE?

When trading CFDs you own the underlying asset

CFDs is a high risk trading option

Leveraged CFD trading allows you to trade on markets with a fraction of the initial deposit

What is negative slippage?

When you close your own trade before your stop loss is reached

A market gap past your stop loss resulting in a worse close price

When the trade is in your favour and you close in a profit

What is 1 Standard Lot size on Forex CFDs?

\$1,000

\$10,000

\$100,000

How do you calculate equity on your account?

Current balance plus the profit/loss on your account

It's the same as my account balance

Equity is not needed for trading CFDs

What is a Derivative?

Value derived from the value of one or more underlying assets

Physical property you are speculating the price on

A trade where you have ownership of the underlying asset

To the nearest dollar, what would your margin requirement to open a standard lot of AUD/USD at 1:500

\$100

\$3,333

\$500

What is Gapping?

Generally occurs during market volatility usually during major economic events

When the instrument you are trading has a significant shift in price

All of the above

How do you calculate the notional value of a trade in CFDs?

Contract size plus the price per unit

Contract size divided by the price per unit

Contract size multiplied by the price per unit

ANNEXURE A – PROOF OF IDENTIFICATION AND CORPORATION DOCUMENTS

For each trustee/director/officer/holder/beneficial owner/shareholder, please attach:

- 1 (one) copy from category A; **OR**
- 1 (one) copy from category B; **AND**
- 1 (one) copy from category C to your application.

A. Photographic ID	B. Non-Photographic ID	C. Secondary ID
<ul style="list-style-type: none"> ▪ Passport (Foreign/Australian) ▪ Drivers licence/learners permit ▪ Proof of age card 	<ul style="list-style-type: none"> ▪ Birth certificate ▪ Medicare card ▪ Citizenship certificate 	<ul style="list-style-type: none"> ▪ Utilities bill - must be issued by local government or utilities provider – no older than 3 months. ▪ ATO tax notice – no older than 12 months from date of issue ▪ Marriage certificate ▪ Lease/Tenancy Agreement (must be current) ▪ Australian mortgage documents

Please also provide copies of all of the following:

Company	Trusts – Company as Trustee
<ul style="list-style-type: none"> ▪ Certificate of incorporation ▪ Certificate of incumbency OR list of directors ▪ List of directors ▪ Company extract which includes: <ul style="list-style-type: none"> ○ List of all shareholders ○ List of all directors ○ Signatory list ○ Memorandum and Articles of Association ○ Authorised trader list 	<ul style="list-style-type: none"> ▪ Trust Deed (or extract) ▪ Deed of amendment (if any) ▪ Certificate of incorporation ▪ Certificate of incumbency OR list of directors and beneficiaries ▪ Company extract which includes: <ul style="list-style-type: none"> ○ List of all shareholders ○ List of all directors ○ Signatory list ○ Memorandum and Articles of Association

<ul style="list-style-type: none">▪ Latest financial statement with the company's registered address▪ Bank statement (no older than 3 months)▪ Proof of LEI (Legal Identity Identifier)	<ul style="list-style-type: none">o Authorised trader list▪ Latest financial statement with the company's registered address
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ANNEXURE B – PROFESSIONAL (WHOLESALE) ACCOUNT INFORMATION

1. The Professional Investor Test

You are considered a wholesale investor if you meet one or more of the following:

- you are a Financial Services Licensee;
- you are a body regulated by APRA, other than a trustee of any of the following (within the meaning of the Superannuation Industry (Supervision) Act 1993):
 - a) a superannuation fund;
 - b) an approved deposit fund;
 - c) a pooled superannuation trust;
 - d) a public sector superannuation scheme.
- you are a body registered under the Financial Corporations Act 1974;
- you are a trustee of:
 - a) a superannuation fund;
 - b) an approved deposit fund;
 - c) a pooled superannuation trust; or
 - d) a public sector superannuation scheme; within the meaning of the Superannuation Industry (Supervision) Act 1993 and the fund, trust or scheme has net assets of at least \$10 million.
- you control at least \$10 million (including any amount held by an associate or under a trust that the person manages);
- you are a listed entity, or a related body corporate of a listed entity;
- you are an exempt public authority;
- you are a body corporate, or an unincorporated body, that:
 - a) carries on a business of investment in financial products, interests in land or other investments; and
 - b) for those purposes, invests funds received (directly or indirectly) following an offer or invitation to the public, within the meaning of section 82, the terms of which provided for the funds subscribed to be invested for those purposes.
- you operate a foreign entity that if established or incorporated in Australia, would be covered by one of the paragraphs above.

2. The Size of Business Test

The financial product or service is provided for use in connection with a business that is not a small business. For a business to be considered as NOT a small business, the business must have:

- 20 or more employees; or
- if the business is or includes the manufacture of goods, then 100 or more employees.

If you believe that you qualify under this criterion, you will need to submit written confirmation by a Director where the client is a Corporation (or the Trustee where the client is a Trust) that proposed services and products are for use in connection with the business and that the business is not a small business (as defined above).

IMPORTANT NOTICE!

In the event that you are eligible for any of the above tests, we are not required to provide you with a Financial Service Guide, Product Disclosure Statement or any other retail disclosure documents. You may not be entitled to the same protections offered to retail clients under the Corporations Act 2001 (Cth). You may also forfeit the right to complain to the Australian Financial Complaints Authority (AFCA).

If you believe you are eligible, please contact us at support.au@capital.com send through all relevant documents/forms supporting your eligibility (see below), we are more than happy to help with any queries or concerns.

Criteria 1: The Professional Investor Test	Criteria 2: The Size of Business Test
You must meet the criteria in Annexure A - section 1 above.	You must meet the criteria in Annexure A - section 2 above.
<p>Please provide us with the following in support of your application:</p> <ul style="list-style-type: none"> • A copy of your Financial Services License; • Proof that you are a body regulated by APRA, other than a trustee of any of the following (within the meaning of the Superannuation Industry (Supervision) Act 1993): <ul style="list-style-type: none"> ○ a superannuation fund; ○ an approved deposit fund; ○ a pooled superannuation trust; ○ a public sector superannuation scheme. • Proof that you are a body registered under the Financial Corporations Act 1974; • Proof that you are a trustee of: <ul style="list-style-type: none"> ○ a superannuation fund; ○ an approved deposit fund; ○ a pooled superannuation trust; or ○ a public sector superannuation scheme; within the meaning of the Superannuation Industry (Supervision) Act 1993 and the fund, trust or scheme has net assets of at least \$10 million. • An accountant's certificate confirming that you control at least \$10 million (including any amount held by an associate or under a trust that the person manages); • Proof that you are a listed entity, or a related body corporate of a listed entity; • Proof that you are an exempt public authority; • Proof that you are a body corporate, or an unincorporated body, that: 	<p>Please provide us with the following in support of your application:</p> <ul style="list-style-type: none"> • written confirmation by a Director where the client is a Corporation (or the Trustee where the client is a Trust) that proposed services and products are for use in connection with the business and that the business is not a small business (as defined in section 2).

<ul style="list-style-type: none">○ carries on a business of investment in financial products, interests in land or other investments; and○ for those purposes, invests funds received (directly or indirectly) following an offer or invitation to the public, within the meaning of section 82, the terms of which provided for the funds subscribed to be invested for those purposes.	
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