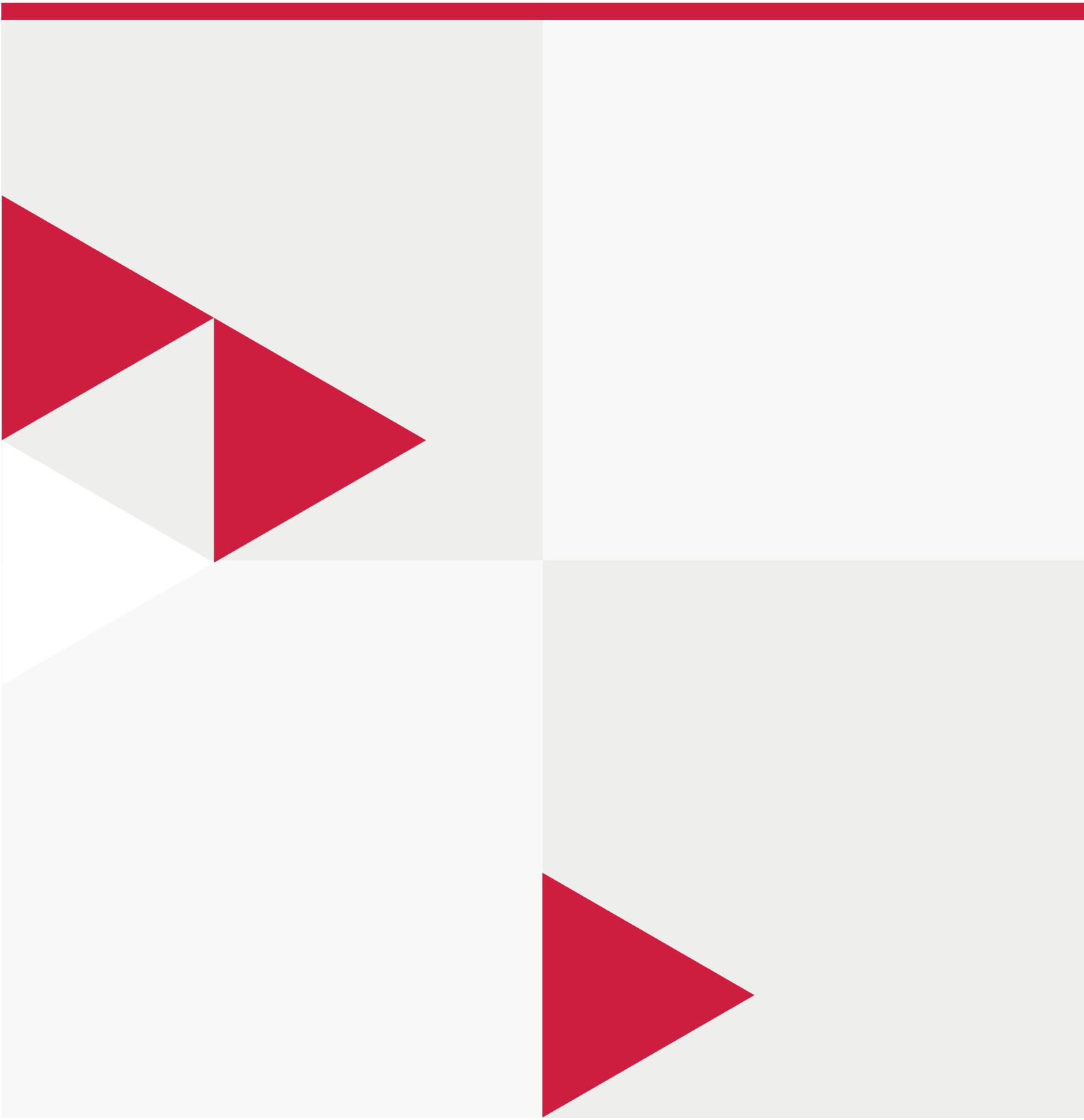


Sydney

+61 2 8317 3131 [omfmarkets.com](http://omfmarkets.com)



# 1. About this Application

## 1.1. Account Opening Process

### Complete and submit an account application

If you require assistance when completing this form please contact our client services team on +61 2 8317 3131.

Please mail your completed form and certified identification documents to:

**OMF Australia Pty Ltd, Suite 401, 45 Lime Street, Sydney NSW 2000**

Alternatively scan and email documents to [applications@omfmarkets.com](mailto:applications@omfmarkets.com).

## 1.2. Important Information

### 1.2.1. General advice

This has been prepared for general information only and is not intended as advice. The information in this Application and Disclosure documents has been prepared without taking into account any persons objectives, financial situation or needs. OMF Australia recommends you seek independent advice from your financial adviser, accountant and/or tax agent.

### 1.2.2. Disclosure documents

Make sure you have read and understood these important documents before completing this form. They contain important information about our services to you and the products provided. We recommend that you download these documents and keep in a safe place for future reference.

- OMF Australia FX Master Agreement
- Financial Services Guide (FSG)
- Product Disclosure Statement Deliverable Foreign Exchange (PDSFX)
- Product Disclosure Statement Foreign Exchange Options (PDSFXO)
- Privacy Policy

Information in the FSG, PDSFX and PDSFXO can change from time to time. When information that changes is not materially adverse to clients, we may update the information in these documents or by publishing an update on our website. You can access the latest version of these documents free of charge from our website [www.omfmarkets.com](http://www.omfmarkets.com) or by contacting us (refer Section 1.2 for contact details).

We recommend that you also review the Risk Warning published on our website [www.omfmarkets.com](http://www.omfmarkets.com).

### 1.2.3. AML/CTF requirements

OMF Australia is committed to meeting the regulatory requirements for Anti-Money Laundering/Counter-Terrorism Financing Act 2006 (AML/CTF).

To comply with these requirements we may:

- Require you to provide to us, or otherwise obtain, any additional documentation or other information;
- Suspend, block or delay transactions on your account, or refuse to provide services to you;
- Report any, or any proposed, transaction or activity to any body authorised to accept such reports relating to AML/CTF or any other law.

### 1.2.4. Privacy policy

The information OMF Australia collects on this form will be used to process your application and provide services to you. This information will be disclosed to our service providers acting on our behalf and other members of OM Financial Group, including those located in other jurisdictions where privacy laws may not offer the same protections. You can view our privacy policy at [www.omfmarkets.com](http://www.omfmarkets.com).

## 2. Account Holder Details

### 2.1. Company Details

Please describe the key business activity

If yes, please specify

Must be street address, not a PO Box

If different from above. Must be street address, not a PO Box

Full name of company as registered by ASIC	
ACN/ARBN issued to the company	
Country of formation, incorporation or registration	
Nature of business activity	
Is the company publically listed company or a majority owned subsidiary of a publically listed company?	
<input type="radio"/> No <input type="radio"/> Yes, listed company <input type="radio"/> Yes, majority owned subsidiary of a listed company	
Stock code	Exchange(s)
Principal place of business	
Postcode	State
Country	
Registered office	
Postcode	State
Country	
Full name of ALL directors - First name, middle name(s), last name	

#### 2.1.1. Personal details of sole director/director 1

The director listed in this section will be the primary contact on the account.

Title	<input type="radio"/> Mr	<input type="radio"/> Mrs	<input type="radio"/> Ms	<input type="radio"/> Dr	Other
Surname					
First name					

Middle name	<input type="radio"/> I don't have a middle name
Any other names known by	
Current residential address	
Postcode	State
Country	
Time at this address	<input type="radio"/> Tick if less than 3 years
Previous residential address	
Postcode	State
Country	
Date of birth	
Nationality	
Australian primary identity document	
<input type="radio"/> Australian Driver's Licence <input type="radio"/> Australian Passport <input type="radio"/> I don't have an Australian primary identity document	
Number	Expiry date
Issued by	
<input type="radio"/> NSW <input type="radio"/> VIC <input type="radio"/> QLD <input type="radio"/> SA <input type="radio"/> WA <input type="radio"/> TAS <input type="radio"/> NT	
What is your title/role in the company?	
<input type="radio"/> Director <input type="radio"/> Secretary <input type="radio"/> Authorised signatory <input type="radio"/> Verifying officer	
Do you require access to execute trades on this account?	
<input type="radio"/> No <input type="radio"/> Yes	
Email	
Phone (    )	

PO Boxes are not acceptable as a residential address

If less than three years at current address

PO Boxes are not acceptable as a residential address

If providing a driver's licence number, also select which state or territory has issued the document

### 2.1.2. Personal details of director 2

Title	<input type="radio"/> Mr <input type="radio"/> Mrs <input type="radio"/> Ms <input type="radio"/> Dr    Other
Surname	
First name	
Middle name	<input type="radio"/> I don't have a middle name
Any other names known by	
Current residential address	
Postcode	State
Country	
Time at this address	<input type="radio"/> Tick if less than 3 years

PO Boxes are not acceptable as a residential address

If less than three years at current address  
PO Boxes are not acceptable as a residential address

Previous residential address	
Postcode	State
Country	
Date of birth	
Nationality	
Australian primary identity document	
<input type="radio"/> Australian Driver's Licence <input type="radio"/> Australian Passport <input type="radio"/> I don't have an Australian primary identity document	
Number	Expiry date
Issued by	
<input type="radio"/> NSW <input type="radio"/> VIC <input type="radio"/> QLD <input type="radio"/> SA <input type="radio"/> WA <input type="radio"/> TAS <input type="radio"/> NT	
What is your title/role in the company?	
<input type="radio"/> Director <input type="radio"/> Secretary <input type="radio"/> Authorised signatory <input type="radio"/> Verifying officer	
Do you require access to execute trades on this account?	
<input type="radio"/> No <input type="radio"/> Yes	
Email	
Phone (    )	

If providing a driver's licence number, also select which state or territory has issued the document

### 2.1.3. Beneficial owners (if not publicly listed)

Please provide details of each shareholder who is a beneficially entitled to 25% or more of the issued capital in the company. If no shareholder owns more than 25% of the company's shares, please list the persons who directly or indirectly control the company. If there is more than one ultimate beneficial owner then please contact OMF Australia for instructions on how to provide details.

#### Ultimate beneficial owner 1

Cross this box if same as director in Section 2.1.1. If different please complete below

Must be street address, not a PO Box

Full name	
Date of birth	
Residential address	
Postcode	State
Country	
Any other names known by	
Australian primary identity document	
<input type="radio"/> Australian Driver's Licence <input type="radio"/> Australian Passport <input type="radio"/> I don't have an Australian primary identity document	
Number	Expiry date

If providing a driver's licence number, also select which state or territory has issued the document

Issued by

NSW
  VIC
  QLD
  SA
  WA
  TAS
  NT

## 2.2. Politically Exposed Person

A Politically Exposed Person (PEP) is an individual who holds a prominent public position or function in a government body or an international organisation, or is an immediate family member or close associate of an individual who holds a prominent public position or function in a government body or international organisation.

Are any of the directors, ultimate beneficial owners or controlling persons of this company a Politically Exposed Person, or closely associated with, or is an immediate family member to a Politically Exposed Person?

- Yes  
 No

PEP 1 full name |

PEP 2 full name |

Use a separate sheet if more than 2 PEPs

## 2.3. Source of Funds

Source of funds for your trading with us

Company revenue or retained earnings
  Other (*please specify*)  
 Investment income  
 Sale of assets

Purpose of the account

Pay for imports
  Other (*please specify*)  
 Receiving funds from exports  
 Pay for or receive funds from an overseas investment  
 Hedging currency exposure

Expected frequency of transactions

One-off payment  
 One to four times per year  
 Approximately once per month  
 More frequently

### Paying for transactions

- OMF Australia will only take payments from bank accounts in the same name as your OMF account unless otherwise agreed and approved by OMF Australia.
- OMF Australia may reject payments received from third party bank accounts

### 3. Client Acknowledgements and Declarations

By signing this Client Application Form, you acknowledge and agree that:

- a In this Application Form, capitalised terms have the meaning in the FX Master Agreement (a copy of these terms have been provided to you with this application form).
- b You are authorised to sign this Client Application Form on behalf of the Company.
- c All transactions entered into by you with OMF Australia will be governed by the Master FX Terms.
- d I/we have received and understood the Financial Services Guide, Product Disclosure Statement Deliverable Foreign Exchange, Product Disclosure Statement Foreign Exchange Options, Privacy Policy, OMF Australia FX Master Agreement and other relevant statements.
- e I/we understand the nature and risks associated with trading Deliverable Foreign Exchange and I/we hereby confirm I/we have read and understood the Product Disclosure Statement Deliverable Foreign Exchange and Risk Warning published on our website [www.omfmarkets.com](http://www.omfmarkets.com).
- f I/we understand the nature and risks associated with trading Foreign Exchange Options and I/we hereby confirm I/we have read and understood the Product Disclosure Statement Foreign Exchange Options and Risk Warning published on our website [www.omfmarkets.com](http://www.omfmarkets.com).
- g I/we warrant and confirm that all information provided by me/us in connection with the application is true and correct. I/we will advise OMF Australia if any such information is to change.
- h I/we have taken my/our own independent taxation advice and understand the tax consequences in Australia and other relevant jurisdictions associated with trading Deliverable Foreign Exchange and Foreign Exchange Options with OMF Australia including, but not limited to, arising from not providing my TFN or ABN to OMF Australia.
- i I/we hereby give my/our full and informed consent to OMF Australia to verify my/our identity and any ultimate beneficial owner/controlling person or Verifying Officer by disclosing my/our personal information such as my/our name(s), date(s) of birth and address(es) to a credit reporting agency or identity verification service for the purposes of undertaking an electronic identity verification in connection with the this application and Anti-Money Laundering and Counter-Terrorism Financing.
- j I/we agree to provide certified copy of identification documentation to OMF Australia and any other additional information if requested in order for OMF Australia to comply with AML/CTF rules and regulation.
- k I/we confirm that all monies which will be paid to OMF Australia originates from a legitimate source and the proceeds of my/our transactions will not be used to finance any illegal activities.
- l I/we declare that I/we will not be contravening the laws and regulations in this jurisdiction by transacting with OMF Australia.
- m I have also read, understood and consent to OMF Australia's Privacy Policy, including any offshore disclosure of my/our personal information.

Signature of director
Signed by (full name)
Date

Signature of director
Signed by (full name)
Date

**Sydney**

Suite 401, 45 Lime Street  
Kings Street Wharf  
Sydney, NSW 2000

**P** +61 2 8317 3131

**E** [info@omfmarkets.com](mailto:info@omfmarkets.com)

[omfmarkets.com](http://omfmarkets.com)