



1. About this Application

1.1. About this Application

Thank you for choosing OMF Australia Pty Limited ACN 608 611 687 AFSL 485351 ("OMF Australia", "we", "us" and "our").

This form is for use by trusts for opening an account for Deliverable Foreign Exchange and Foreign Exchange Options. Forms for individuals, sole traders and joint accounts and companies are available on our website www.omfmarkets.com.

If you wish to also open an account to transact Margin FX, you will need to complete a separate form for this product available on our website www.omfmarkets.com.

IMPORTANT: Read and understand the OMF Australia disclosure documents and the important information in Section 1.3 of this application form to ensure you fully understand the financial product and the service we provide to you.

1.2. Account Opening Process

1.2.1. Complete and submit an account application

OMF Australia is required to collect and verify the trustee, settlor and the trust in order to open an account (refer Section 1.3.3 AMLCTF Requirements). The information required will depend on the type of account you are opening.

In order to process your application we will need:

- Completed application form
- Identification for Trustee(s), settlor (if applicable) and beneficial owner(s)/controller(s)
- A certified copy or certified extract of the Trust deed which clearly states the full name of the Trust, the Trustees, Beneficiaries and Settlor and the signatures of the Trustees

We are able to verify Australian registered companies and the identity of individuals who are residents of Australia via electronic verification. However, we may request supporting documentation anytime.

If you are providing certified copy of identification documents, please refer to our guide "*How to Provide a Certified Identity Document*" available on our website www.omfmarkets.com.

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.

1.2.2. Wait for confirmation that your account has been approved

We will contact you when your account has been approved to set up your online access, standard settlement instructions and any other services you have requested.

For other services we provide, we may require to collect additional information from you. For example, we are required to collect information about your tax status, trading suitability and financial details for certain product types.

If you are a retail client and request personal advice, we will require further information about your objectives, needs and personal situation and document our recommendation in a Statement of Advice or Record of Advice, where further advice is given.

If you wish to be treated as a wholesale client, we may require further evidence or certification.

1.2.3. Execute trades online or contact the dealing desk

Once your account has been set up, you are ready to access OMF Australia's FX Hedging and Payment Solutions.

1.3. Important Information

1.3.1. 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.

1.3.2. 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 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.

1.3.3. 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

1.3.4. Privacy policy

Account set-up cannot be completed until the information you have provided has been verified. 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.

2. Account Holder Details

2.1. Trust Details

Full name of trust
Type of trust
<input type="radio"/> SMSF account <input type="radio"/> Other (<i>please state</i>)
Country where the trust is established in
Full name of the Settlor of the Trust
Please tick if one of the following applies:
<input type="radio"/> The material asset contribution to the Trust by the Settlor at the time the Trust was established was less than \$10,000 <input type="radio"/> The Settlor of the Trust is deceased <input type="radio"/> The Trust is a managed investment scheme registered by ASIC, or that only has wholesale clients and does not make small scale offerings to which section 1012E of the Corporations Act applies <input type="radio"/> The Trust is registered and subject to the regulatory oversight of a Commonwealth statutory regulator in relation to its activities as a trust <input type="radio"/> A government superannuation fund established by legalisation
Full name of all trustees of the trust - First name, middle name(s), last name

Beneficiaries

Full name/name of class	
Address	
Postcode	State
Country	
Full name/name of class	
Address	
Postcode	State
Country	

Must be street address, not a PO Box

Must be street address, not a PO Box

Must be street address, not a PO Box	Full name/name of class
	Address
	Postcode State
	Country
Must be street address, not a PO Box	Full name/name of class
	Address
	Postcode State
	Country

2.1.1. Tax status

Trust

It is not compulsory for you to provide your Tax File Number (TFN) or ABN, and it is not an offence if you decline to provide it. However, unless exempted, withholding tax will be deducted from any income at the highest top marginal rate plus Medicare levy (if you are a resident) and at 10% if you are a non-resident. In addition, you may be charged any other applicable levies or taxes.

If the trust is a foreign entity for tax purposes (eg a trust created in the US, established under the laws of the US or a US taxpayer), we may be required to collect further information from you to meet international obligations including Foreign Account Tax Compliance Act (FATCA).

If yes, please specify country of domicile	ABN issued to the trust or reason for exemption
	TFN issued to the trust or reason for exemption
	Is the trust a foreign entity for tax purposes? <input type="radio"/> No <input type="radio"/> Yes
	Country of domicile

2.2. Individual Trustee/Joint Trustee 1/Corporate Trustee Director 1

Must be street address, not a PO Box	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
	Date of birth
	Nationality
	Country of residency

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

Australian primary identity document

Australian Driver's Licence
 Australian Passport
 I don't have an Australian primary identity document

Number | Expiry date |

Issued by

NSW VIC QLD SA WA TAS NT

If yes, please provide

If Corporate Trustee Director 1, what is your title/role in the company?

Director Secretary Authorised signatory Verifying officer*

Do you require access to execute trades on this account? No Yes

Name |

Phone | ()

*Verifying Officer is the person appointed to identify the agents/persons who are authorised to operate on the Company's accounts in accordance with the requirements of the AML/CTF Act 2006. Refer to Section 2.6 to appoint a Verifying Officer.

2.3. Joint Trustee 2/Corporate Trustee Director 2

Must be street address, not a PO Box

Title | Mr Mrs Ms Dr Other |

Surname |

First Name |

Middle Name | I don't have a middle name

Any other names known by |

Current residential address |

Postcode | State |

Country |

Date of birth |

Nationality |

Country of residency |

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

Australian primary identity document

Australian Driver's Licence
 Australian Passport
 I don't have an Australian primary identity document

Number | Expiry date |

Issued by

NSW VIC QLD SA WA TAS NT

If yes, please provide

If Corporate Trustee Director 2, what is your title/role in the company?

Director
 Secretary
 Authorised signatory
 Verifying officer*

Do you require access to execute trades on this account? No Yes

Name | _____

Phone | () _____

*Verifying Officer is the person appointed to identify the agents/persons who are authorised to operate on the Company's accounts in accordance with the requirements of the AML/CTF Act 2006. Refer to Section 2.6 to appoint a Verifying Officer.

2.4. Corporate Trustee Details

Full name of company as registered by ASIC | _____

ACN/ARBN issued to the company | _____

Country of formation, incorporation or registration | _____

ABN issued to the company | _____

Nature of business activity

Corporate trustee
 Other (please specify)

Is the company a majority owned subsidiary of a publicly listed company?

No
 Yes

If yes, please specify

Stock code | _____ Exchange(s) | _____

Must be street address, not a PO Box

Principle place of business | _____

Postcode | _____ State | _____

Country | _____

If different from above

Registered office | _____

Postcode | _____ State | _____

Country | _____

Full name of all directors - First name, middle name(s), last name

.....

2.5. Primary Contact Details

Primary contact details	
<input type="radio"/> Same as Individual 1 in Section 2.2 or <input type="radio"/> Same as Individual 2 in Section 2.3 or <input type="radio"/> Insert name:	
Phone (business)	()
Phone (mobile)	() <input type="checkbox"/> Tick this box to receive important notifications by SMS
Fax	()
Email	
Postal address	
Postcode	State
Country	

If different from principal place of business

2.6. Beneficial Owners/Controlling Owner

Please provide details of any individual who ultimately owns 25% or more (either directly or indirectly) of the assets of the trust or issued capital of the trustee or who exercises control of the trust or trustee.

The definition of 'control' includes whether the control is exerted by means of trusts, agreements, arrangements, understandings or practices and whether or not the individual has control based on legal or equitable rights. It includes where an individual can exercise control through making decisions about financial and operating policies.

For example, the Appointor (may also referred to as Custodian or Principal) or any individual who holds the power to appoint or remove the trustee.

Ultimate beneficial owner 1

Cross this box if same as Individual 1 in Section 2.2. If different please complete below

Full name	
Date of birth	
Residential address	
State	Postcode
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

Must be street address, not a PO Box

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

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 SA
 WA
 TAS
 NT

Ultimate beneficial owner 2

Cross this box if same as Individual 1 in Section 2.3. If different please complete below

Must be street address, not a PO Box

Full name |

Date of birth |

Residential address |

State | Postcode |

Country |

Any other names known by |

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

Australian primary identity document

.....

Australian Driver's Licence
 Australian Passport
 I don't have an Australian primary identity document

Number | Expiry date |

Issued by

.....

NSW
 VIC
 QLD
 SA
 WA
 TAS
 NT

Ultimate beneficial owner 3

Must be street address, not a PO Box

Full name |

Date of birth |

Residential address |

State | Postcode |

Country |

Any other names known by |

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

Australian primary identity document

.....

Australian Driver's Licence
 Australian Passport
 I don't have an Australian primary identity document

Number | Expiry date |

Issued by

.....

NSW
 VIC
 QLD
 SA
 WA
 TAS
 NT

Ultimate beneficial owner 4

Must be street address, not a PO Box

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

Full name	
Date of birth	
Residential address	
State	Postcode
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
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	

2.7. 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

2.8. Source of Funds

Source of funds for your trading with us	
<input type="radio"/> Investor contributions <input type="radio"/> Investment income <input type="radio"/> Sale of assets	<input type="radio"/> Other (please specify)
Purpose of the account	
<input type="radio"/> Pay for or receive funds from an overseas investment <input type="radio"/> Hedging currency exposure	<input type="radio"/> Other (please specify)

Expected frequency of transactions

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

Paying for your transactions

The Trustee will be paying for transactions from a bank account in the name of the account holder
 We understand that OMF Australia may reject payments received from third party bank accounts.

3. Wholesale Client Status (optional)

Complete this section if you wish to be eligible as a wholesale client as defined in the Corporations Act 2001. A wholesale client is expected to be able to evaluate financial products without needing the retail client protections. Wholesale clients lose significant rights such as they may not be provided with a Financial Services Guide; Product Disclosure Statement, Statement of Advice for product recommendations and may not have the right to complain to the Financial Ombudsman Service given that it may not be considered a retail client.

Full name of Account Holder

is applying as a wholesale client and qualifies as a Professional Investor under section 9 of the Corporations Act 2001

- is a professional investor that is a holder of an Australian Financial Services Licence

APSL number

- is a professional investor as it has or controls assets of at least AUD or foreign equivalent of \$10,000,000.
- is a listed entity or a related body of a listed entity

Primary market listed on

Stock code

- is a trustee of a superannuation fund, 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
- is a foreign entity that, if established or incorporated in Australia, would be covered by one of the above

4. Client Acknowledgements and Declarations

- (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) I/we confirm that the trust deed has appropriate powers to enter into Deliverable Foreign Exchange and Foreign Exchange Options transactions
- (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, Risk Warning, 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.
- (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.
- (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, settlor, beneficiary and 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 trustee/director 1/authorised signatory 1
Signed by (full name)
Date

Signature of trustee/director 2/authorised signatory 2
Signed by (full name)
Date

Schedule 1 - Authorised Person List

This Schedule sets out the initial list of persons authorised by the Client to make Orders and settle Transactions under the FX Master Agreement.

The Authorised Persons List is governed by the Master FX Terms.

	Full name of Authorised Person	Product (Y/N)*				Signature of Authorised Person
		FX	FFX	FXO	WFXO	
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						

*Abbreviations used in the above table have the following meanings:

'FX' means Foreign Exchange Transactions

'FFX' means Deliverable Forward Foreign Exchange Transactions

'FXO' means Foreign Exchange Options

'WFXO' means Write Foreign Exchange Options e.g. collars

Declarations by verifying officer/s

- (a) I/we hereby confirm that the details provided on this form are complete and correct.
- (b) I/we hereby confirm that I/we have collected the full name of the Authorised Person/s, the title of the position or role held by the Authorised Person/s, a copy of their signature, and evidence of their authorisation to act on behalf of the Company.

Signature of verifying officer 1
Full Name of verifying officer 1
Date

Signature of verifying officer 2
Full Name of verifying officer 2
Date

Sydney

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Kings Street Wharf
Sydney, NSW 2000
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OMF Markets is a registered business name of
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