

## INSTRUCTIONS FOR COMPLETING

In order for Saxo Capital Markets to comply with its obligations towards AML/CTF, FATCA, CRS and other applicable requirements, **ALL** relevant sections must be completed accurately and truthfully and further supporting documents must be provided if requested to enable Saxo Capital Markets to fulfil its obligations.

## SUPPORTING DOCUMENTS

Saxo Capital Markets is able to verify the identity of individuals residing in Australia via electronic verification; however supporting documents may still be requested anytime. If individuals wish to provide supporting documents with their application form, they are welcome to do so, please see below acceptable forms of supporting documents in order to verify the **FULL NAME, DATE of BIRTH & CURRENT RESIDENTIAL ADDRESS** of an individual.

- Drivers Licence
- National Photo Identity Card
- Passport
- Utility Bill (*mailed out to the individual's current residential address, issued within the last 6 months*)

Acceptable foreign residents - Individuals residing outside of Australia are required to provide 2 separate forms of identification as listed above, and must be **NOTORIZED** by an official public notary in the residing jurisdiction.

Australian residents must ensure their identification is **CERTIFIED** as a true copy of the original document by an authorised agent, refer to [www.home.saxo/en-au](http://www.home.saxo/en-au) > support > certifying identification for guidelines on certifying documents, and a list of acceptable certifying agents. Any identification document submitted must be valid and not expired.

If trading **margined/leveraged** financial products, the authorised dealer must complete a **CLIENT SUITABILITY ASSESSMENT**, prior to obtaining trading access. Available upon request via email: [ps@saxomarkets.com.au](mailto:ps@saxomarkets.com.au)

Saxo Capital Markets does not offer its financial products and services to individuals residing in jurisdictions where such use would constitute a violation towards applicable laws and regulations, including but not limited to residents of the United States of America.

## SUBMIT YOUR APPLICATION

**Attention:** New Accounts

**Email:** [ps@saxomarkets.com.au](mailto:ps@saxomarkets.com.au)

**Fax:** +61 2 8267 9050

**Post:** PO Box A839 Sydney South NSW 1235

### PART 1A | ACCOUNT

Do you require a HIN (Holder Identification Number)?

Yes  No

*Note: By selecting Yes, all applicants must be tax residents of Australia.*

*By selecting No, the account will not be CHESSE sponsored.*

### PART 1B | INDIVIDUAL 1 PERSONAL DETAILS

Title: (Mr. / Mrs. / MS / Miss / Other)

Surname:

Given Names:

Date of Birth:

Residential Address:

State:

Post Code:

Country:

Time at current address: \_\_\_\_\_ years \_\_\_\_\_ months

Previous Residential Address (if less than three years at the above current residential address):

State:

Post Code:

Country:

Drivers Licence:

Place of Birth (Town/City and Country): Town/City:

Country:

**Employment Status** Employed/self employed:  Retired:  Student:  Unemployed:

\*Occupation:

\*Industry sector:

Are you a Politically Exposed Person (PEP); closely associated with; or an immediate family member to a PEP?

Yes  No

*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 an international organisation.*

#### Tax Declaration

1. Australian Tax File Number (TFN)\*\*: \_\_\_\_\_

2. TFN Exemption?

No  Yes ► If YES, reason: \_\_\_\_\_

Eg: Non-resident, social security or vet pension, other social security benefit, entity not required to lodge tax return, Norfolk island resident.

3. Foreign Account Tax Compliance Act (FATCA): [www.irs.gov/businesses/corporations/foreign-account-tax-compliance-act-fatca](http://www.irs.gov/businesses/corporations/foreign-account-tax-compliance-act-fatca)

Are you a US resident or US citizen for tax purposes?

No  Yes ► If YES, provide US Tax Identification Number (US TIN): \_\_\_\_\_

4. Common Reporting Standards (CRS): [www.oecd.org/tax/automatic-exchange/common-reporting-standard](http://www.oecd.org/tax/automatic-exchange/common-reporting-standard)

Are you a resident or citizen of any other country for tax purposes? If YES, please complete the below.

List other country(s) of residence for tax purposes.	TIN - Tax Identification Number (e.g. TFN)	No TIN - Reason A, B or C	If B, Explain Why?

**Reason A** - The country/jurisdiction where the Account Holder is resident does not issue TINs to its residents.

**Reason B** - Unable to obtain a TIN (Please explain why you are unable to obtain a TIN in the space provide above).

**Reason C** - No TIN is required. (Domestic law of the relevant country/jurisdiction does not require the collection of the TIN).

*\*this is required in order to open your account. Saxo Capital Markets may ask for further clarification of the information you provide.*

*\*\* We remind Australian residents that not providing a TFN (or either applicant in a joint account) will result in higher withholding tax on Australian sourced income (dividends and bonds interest).*

**PART 2 | INVESTMENT OF FUNDS**

**ANNUAL INCOME Primary source(s) of income (in AUD)**

**Salary after tax in AUD**

- |                                          |                                          |                                              |                                              |
|------------------------------------------|------------------------------------------|----------------------------------------------|----------------------------------------------|
| <input type="checkbox"/> 0-50,000        | <input type="checkbox"/> 150,001-200,000 | <input type="checkbox"/> 750,001-1,000,000   | <input type="checkbox"/> 3,000,001-4,000,000 |
| <input type="checkbox"/> 50,001-100,000  | <input type="checkbox"/> 200,001-500,000 | <input type="checkbox"/> 1,000,001-2,000,000 | <input type="checkbox"/> 4,000,001-5,000,000 |
| <input type="checkbox"/> 100,001-150,000 | <input type="checkbox"/> 500,001-750,000 | <input type="checkbox"/> 2,000,001-3,000,000 | <input type="checkbox"/> > 5,000,000         |

**Secondary source(s) of income, if applicable (in AUD)**

- |                                                                    |                                    |
|--------------------------------------------------------------------|------------------------------------|
| <input type="checkbox"/> Dividends/interests from stocks/bonds etc | <input type="checkbox"/> Royalties |
| <input type="checkbox"/> Dividends/interests from own company      | <input type="checkbox"/> Others    |

**Total amount of Secondary source(s) of income after tax (in AUD)**

- |                                          |                                          |                                              |                                              |
|------------------------------------------|------------------------------------------|----------------------------------------------|----------------------------------------------|
| <input type="checkbox"/> 0-50,000        | <input type="checkbox"/> 150,001-200,000 | <input type="checkbox"/> 750,001-1,000,000   | <input type="checkbox"/> 3,000,001-4,000,000 |
| <input type="checkbox"/> 50,001-100,000  | <input type="checkbox"/> 200,001-500,000 | <input type="checkbox"/> 1,000,001-2,000,000 | <input type="checkbox"/> 4,000,001-5,000,000 |
| <input type="checkbox"/> 100,001-150,000 | <input type="checkbox"/> 500,001-750,000 | <input type="checkbox"/> 2,000,001-3,000,000 | <input type="checkbox"/> > 5,000,000         |

**TOTAL WEALTH Primary source(s) of income (in AUD)**

- |                                                          |                                      |                                         |
|----------------------------------------------------------|--------------------------------------|-----------------------------------------|
| <input type="checkbox"/> Savings from salary/pension     | <input type="checkbox"/> Inheritance | <input type="checkbox"/> Trading profit |
| <input type="checkbox"/> Profit from selling own company | <input type="checkbox"/> Royalties   | <input type="checkbox"/> Other          |

**For AML purposes, please indicate the amount you intend to invest with Saxo Capital Markets. (in AUD)**

- |                                         |                                          |                                              |                                              |
|-----------------------------------------|------------------------------------------|----------------------------------------------|----------------------------------------------|
| <input type="checkbox"/> < 5,000        | <input type="checkbox"/> 100,001-200,000 | <input type="checkbox"/> 500,001-750,000     | <input type="checkbox"/> 2,000,001-3,000,000 |
| <input type="checkbox"/> 5,001-10,000   | <input type="checkbox"/> 200,001-300,000 | <input type="checkbox"/> 750,001-1,000,000   | <input type="checkbox"/> 3,000,001-4,000,000 |
| <input type="checkbox"/> 10,001-50,000  | <input type="checkbox"/> 300,001-400,000 | <input type="checkbox"/> 1,000,001-1,500,000 | <input type="checkbox"/> 4,000,001-5,000,000 |
| <input type="checkbox"/> 50,001-100,000 | <input type="checkbox"/> 400,001-500,000 | <input type="checkbox"/> 1,500,001-2,000,000 | <input type="checkbox"/> > 5,000,000         |

**Total investment value of your cash & securities**

- |                                         |                                          |                                              |                                              |
|-----------------------------------------|------------------------------------------|----------------------------------------------|----------------------------------------------|
| <input type="checkbox"/> < 5,000        | <input type="checkbox"/> 100,001-200,000 | <input type="checkbox"/> 500,001-750,000     | <input type="checkbox"/> 2,000,001-3,000,000 |
| <input type="checkbox"/> 5,001-10,000   | <input type="checkbox"/> 200,001-300,000 | <input type="checkbox"/> 750,001-1,000,000   | <input type="checkbox"/> 3,000,001-4,000,000 |
| <input type="checkbox"/> 10,001-50,000  | <input type="checkbox"/> 300,001-400,000 | <input type="checkbox"/> 1,000,001-1,500,000 | <input type="checkbox"/> 4,000,001-5,000,000 |
| <input type="checkbox"/> 50,001-100,000 | <input type="checkbox"/> 400,001-500,000 | <input type="checkbox"/> 1,500,001-2,000,000 | <input type="checkbox"/> > 5,000,000         |

## PART 3 | PRIMARY CONTACT DETAILS

Registered Email Address:

Primary Phone Number:

Mobile Phone Number:

## PART 4 | SOLE TRADER DETAILS

Are you a Sole Trader?  No  Yes ► *Provide details below*

Full business name (if any):

Full Address of principal place of business (if any):

ABN:

## PART 5 | CHOICE OF PRIMARY ACCOUNT CURRENCY *(Please tick one currency box)*

Australian Dollar	AUD	<i>(default/main currency)</i>
New Zealand Dollar	NZD	
Singapore Dollar	SGD	
US Dollar	USD	
Japanese Yen	JPY	
Hong Kong Dollar	HKD	
Euro	EUR	
Canadian Dollar	CAD	
Great British Pounds	GBP	

## PART 6 | NOMINATED BANK ACCOUNT

Bank Account Name

BSB & Account Number

Bank Name, Branch & Country

*Saxo Capital Markets may request for a bank statement at any time for the purposes of AML/CTF Regulations, in order to verify the origin or destination of funds in/out of your trading account with Saxo Capital Markets. It is Saxo Bank Group policy to not accept third party transactions, therefore please ensure that any funds transferred in/out of your trading account is associated with a bank account under the same name as your trading account. Bank Cheques or Physical Cash Deposits are also not*

**PART 7 | INDIVIDUAL 2 PERSONAL DETAILS**

Title: (Mr. / Mrs. / MS / Miss / Other)  
 Surname: \_\_\_\_\_ Given Names: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

Residential Address:  
 State: \_\_\_\_\_ Post Code: \_\_\_\_\_ Country: \_\_\_\_\_  
 Time at current address: \_\_\_\_\_ years \_\_\_\_\_ months

Previous Residential Address (if less than three years at the above current residential address):  
 State: \_\_\_\_\_ Post Code: \_\_\_\_\_ Country: \_\_\_\_\_

Drivers Licence: \_\_\_\_\_

Place of Birth (Town/City and Country): Town/City: \_\_\_\_\_ Country: \_\_\_\_\_

**Employment Status** Employed/self employed:  Retired:  Student:  Unemployed:

\*Occupation: \_\_\_\_\_ \*Industry sector: \_\_\_\_\_

Are you a Politically Exposed Person (PEP); closely associated with; or an immediate family member to a PEP?  
 Yes  No  
*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 an international organisation.*

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## **PART 8 | CHESS SPONSORSHIP**

If you indicated Yes in Part 1A, please read and agree to the terms and conditions below:

CHESS or Clearing House Electronic Sub-register System is a centralised electronic system that manages the settlement and registration of certain financial products traded on the Australian Securities Exchange (ASX). CHESS is operated by ASX Settlement Pty Limited, a wholly owned subsidiary of ASX. Only participants registered with ASX may control financial products on CHESS.

Saxo Capital Markets' execution, settlement and clearing participant for financial products traded on ASX is OpenMarkets Australia Ltd AFSL 245705 (OpenMarkets). OpenMarkets is a participant registered with ASX and will establish and administer CHESS Sponsored Accounts for clients of Saxo Capital Markets upon acceptance of the following terms and conditions.

I/We instruct OpenMarkets Australia Ltd AFSL 246705 (OpenMarkets) to establish a Chess Sponsored Account for me/us. I/ We acknowledge that I/We have received, read and agree to be bound by the OpenMarkets <hyperlink Client Agreement> including Part 2 CHESS Sponsorship. I/We also acknowledge that I/We have received, read and understood the OpenMarkets Financial Services Guide and Best Execution Policy. The documents referred to are available at <hyperlink to OpenMarkets documents>.

Upon the acceptance of this application, the opening of an account for the Applicant and the issue of a HIN by OpenMarkets, OpenMarkets will be taken to have agreed to be bound by and to have signed the OpenMarkets Client Agreement.

I confirm that I have read and agree to the above Terms and Conditions



### Joint Account Additional Information

Please provide the relationship between each party to the joint account (i.e. husband and wife, de-facto partner)

### PART 9 | DECLARATION

I/We consent by my/our signature(s):

- I/We have read and understood Saxo Capital Markets' Combined Financial Services Guide & Product Disclosure Statement and any Supplementary Product Disclosure Statement including the General Business Terms. I/We hereby agree to be bound by the General Business Terms and other relevant terms and conditions (as amended from time to time) that apply to my/our entire trading relationship with Saxo Capital Markets.
- I/We have read and understood Saxo Capital Markets' Risk Warning disclosure available via [www.home.saxo/en-au](http://www.home.saxo/en-au)
- I/We have read, understood and agree to the Privacy Policy, and consent to Saxo Capital Markets using my/our personal details provided in this application form to electronically verify my/our identity for the purposes of AML/CTF regulations.
- I/We have read and understood the Best Execution Policy, Conflicts of Interest Policy, Market Conduct Information, the Commission Charges & Margin Schedule and any other terms and conditions (as amended from time to time) that apply to my/our entire relationship with Saxo Capital Markets.
- I/We confirm that the information provided by me/us in this application form is true, correct and complete.
- I/We act in my/our own name as specified in this application form and not on behalf of a third party in respect of all matters related to this client relationship. Accordingly, all funds to be deposited and traded on the account with Saxo Capital Markets are my/our own funds.
- I/We agree to give Saxo Capital Markets notice in writing of any change in particulars given in this application form and to submit relevant documentary proof to Saxo Capital Markets.
- I/We consent to receive material information from Saxo Capital Markets regarding Saxo Capital Markets products and services.
- I/We indemnify Saxo Capital Markets in relation to the grant of Power of Attorney (if appointed) and accept full responsibility or liability of the power of attorney's instructions to Saxo Capital Markets.
- I/We agree that my/our tax residency status declaration for the purpose of FATCA and CRS, as confirmed by me/us in this client application form is accurate, complete and up to date. I/We agree to notify Saxo Capital Markets immediately should my/our tax residency status change at any time.
- I/We agree that only those persons specified in this application form, or otherwise notified to Saxo Capital Markets, as authorised dealers and who have submitted to Saxo Capital Markets a completed Client Suitability Assessment may execute trades on our account (unless Saxo Capital Markets otherwise accepts instructions in accordance with the General Business Terms). Any person who is not authorised to execute trades will be limited to receiving "view only" access to our account.

\_\_\_\_\_  
Signature of Individual 1

\_\_\_\_\_  
Signature of Joint Individual 2

\_\_\_\_\_  
Full Name Individual 1

\_\_\_\_\_  
Full Name of Joint Individual 2

\_\_\_\_\_  
Date:

\_\_\_\_\_  
Date: