



# Application Form

(Individual and Joint Accounts)

Auckland  
0800 863 325

Wellington  
0800 663 935

[omf.co.nz](http://omf.co.nz)



## Account Application

Thank you for choosing OM Financial Limited ("OMF", "we", "us" and "our"). This Account Application is for use if you wish to use OMF to facilitate dealing in derivative Contracts and/or Securities (together, "Instruments").

This Account Application must be read together with our General Terms and Conditions. Capitalised terms used in this Account Application and not defined have the meanings given in the General Terms and Conditions. If we accept your application for an Account, the agreement between us and you (the "Account Holder", "you" and "your") will comprise this Account Application and the General Terms and Conditions ("Agreement"). OMF's General Terms and Conditions are available on our website [www.omf.co.nz](http://www.omf.co.nz).

If you require assistance when completing this form please contact our client services team on +64 9 520 9310.

If you wish to appoint additional Authorised persons to your account then please complete the Authorised Person form available on our website.

### Warning - U.S. Resident:

In keeping with U.S. laws it can be illegal for a U.S. resident to transact in certain products offered by OMF. If you believe that you, or your Authorised Person a U.S. Resident then please contact your OMF adviser before proceeding with this Account Application.

## 1. Account Details

Please select the type of account that you wish to open with OMF.

- ☐ OMF cTrader/Margin foreign exchange
- ☐ Foreign exchange – Hedging & payment solutions
- ☐ OMF MarketTrader – Global equities, equity options, CFDs
- ☐ NZ equities
- ☐ Carbon trading
- ☐ Electricity trading
- ☐ Dairy trading
- ☐ Futures trading

### Nature and Purpose of the Account

- |   |                                       |                                      |   |
|---|---------------------------------------|--------------------------------------|---|
| Trading Objectives<br>(tick all that apply) | <input type="radio"/> Hedging risk    | <input type="radio"/> Investment     | <input type="radio"/> Speculative trading |
|   | <input type="radio"/> Diversification | <input type="radio"/> Deliverable FX | <input type="radio"/> Other               |
| Comments                                    |                                       |                                      |   |

### Scope of Service

Please select which type of service you wish OMF to provide.

- ☐ **Online/Execution only** (you do not require any financial advice or you prefer to execute your trades online).
- ☐ **Personalised advice** (you will be provided with financial advice that relates specifically to your personal circumstances).
- ☐ **Class advice** (you may, from time to time, receive financial advice, however this advice will be of a general nature and does not take into account your personal circumstances).

Unless you have elected to receive personalised financial advice from one of our Authorised Financial Advisers and you have received a detailed Statement of Advice, OMF and our dealers provide class services only for the purposes of the Financial Advisers Act 2008. That is, we will not consider your particular financial situation or goals when providing recommendations or opinions in relation to disposing of financial products. You must decide whether the financial adviser services we provide are suitable for your individual needs and risk profile.

If you select personalised advice, we will be required to gather more details from you in order to assess your risk tolerance and financial position.

2. Account Holder Details

Primary Account Holder

Please complete this section for the primary Account Holder.

Title	Surname	
First name	Middle name	
Any other name known by		
Date of birth	Nationality	
Occupation	Industry	
Employer		
Residential address		
		Postcode
Country of residence		
Mailing address		
Phone (home)	( )	Phone (business) ( )
Phone (mobile)	( )	
Email		

Joint Account Holder

Please complete this section for the joint Account Holder.

Title	Surname	
First name	Middle name	
Any other name known by		
Date of birth	Nationality	
Occupation	Industry	
Employer		
Residential address		
		Postcode
Country of residence		
Phone (home)	( )	Phone (business) ( )
Phone (mobile)	( )	
Email		

Statement of Financial Position (Combined - if applicable)

These details must be completed in order to open an account.

Net assets (please tick)	Gross annual income/Salary (NZ\$) (please tick)
<input type="radio"/> \$0 – \$100,000	<input type="radio"/> \$0 – \$50,000
<input type="radio"/> \$100,001 – \$500,000	<input type="radio"/> \$50,001 – \$100,000
<input type="radio"/> \$500,001 – \$1,000,000	<input type="radio"/> \$100,001 – \$250,000
<input type="radio"/> \$1,000,001 – \$5,000,000	<input type="radio"/> \$250,001 +
<input type="radio"/> \$5,000,001 +	

PO Boxes are not acceptable as a residential address

This will be the mailing address listed on the account. If you are trading NZX securities, they will be registered to this address

Where you provide an email address you are agreeing to all statements, contract notes, remittance advice, statutory disclosures and other communications from us being sent to this address

If no email address is provided, all correspondence will be mailed to the mailing address stated above

PO Boxes are not acceptable as a residential address

Source of wealth (tick all that apply)

- ☐ Earned income
- ☐ Savings/investments
- ☐ Inheritance
- ☐ Sale of assets
- ☐ Other (please specify)

Associations

Are (either of) you, or any Authorised Person on this Account, any of the following:

- A Prescribed Person (as defined in the General Terms and Conditions, e.g. a Director or Employee) of another NZX Participant or NZX Derivatives Firm?

☐ No

☐ Yes (please provide details)
- A director or senior manager of a publically listed company?

☐ No

☐ Yes (please provide details)
- An employee of a registered bank in New Zealand or overseas ("Bank") and subject to internal trading restrictions?

☐ No

☐ Yes (please provide details)

Shareholding Registration

If you wish to trade Securities through the markets provided by NZX or NZAX, and you already hold a Common Shareholder Number ("CSN") , please provide your CSN below:

CSN

If you do not have a CSN already and wish to trade on the NZX then you will be allocated one

3. Tax Details (including FATCA & OECD Common Reporting Standards (CRS) self-declarations)

- Are you (both) a New Zealand Tax Resident?

☐ No

☐ Yes (please complete NZ Tax details below)
- Are (either of) you a tax resident in any jurisdiction outside New Zealand?

☐ No

☐ Yes (please complete CRS-1 form available on our website)

New Zealand Tax Resident

- IRD number
- Are you GST registered?

☐ No

☐ Yes

GST number (if applicable)
- If you answered 'Yes' to the above question, are you able to recover 75% of GST?

☐ No

☐ Yes
- If uncertain, what is your core business activity?

Provision of your IRD Number is optional; however you should be aware that if one is not lodged, we are required to deduct withholding tax at the highest marginal rate from interest payable.

- Withholding Tax on Interest Earnings

☐ 10.5%

☐ 17.5%

☐ 30%

☐ 33%

☐ Exempt\*

\* a copy of your IRD exemption certificate must be enclosed

U.S. Person Declaration

- Are (either of) you a U.S. citizen, permanent resident, Green Card holder or U.S. tax resident?

☐ No

☐ Yes

If you answer 'Yes' to any of this question, this Account may be deemed a reportable account under the Foreign Account Tax Compliance Act ("FATCA") and additional information will be required. You should seek independent advice from your tax adviser as to how these requirements may affect you. You will also be required to complete the IRS W-9 form available on our website.

## 4. Trading Objectives and Experience

As a NZX Advising Firm and a Market Participant (as those terms are defined in the NZX Participant Rules) and a FMC Derivatives Issuer, OMF is required to ask you for this information. This section does not constitute a full client risk profile or suitability assessment as may be required in certain circumstances under the Financial Markets Conduct Act 2013 and the Financial Advisers Act 2008 but will assist us to understand your requirements in opening this Account.

**Warning:** We are required to request this information from you in order to assess whether derivative trading is suitable for you. Without this information we may not be able to assess whether you have the necessary knowledge and experience to understand the derivative and the risks involved and may not be able to proceed with your application. Consequently, we strongly advise you to provide us with the requested information which we believe is necessary to enable us to assess your suitability.

### Relevant Investment Experience

	Experience (Years)	Number of Trades (per annum)	Contract Value (Average \$)
Foreign exchange			
Margin FX			
Futures			
Options			
CFDs			
Equities			
Bonds/Fixed interest			
Other investment experience? (Please provide details):			

If you intend on trading derivatives, please complete this section

### Derivatives

Do you understand the nature and risks of derivative instruments?	<input type="radio"/> No	<input type="radio"/> Yes
Can you access investment research and information about derivative trading?	<input type="radio"/> No	<input type="radio"/> Yes
Do you have experience trading derivatives?	<input type="radio"/> No	<input type="radio"/> Yes

## 5. Account Preferences

We want to ensure you receive communications that you find relevant, informative and useful to your trading. By completing your subscription preferences below you can let us know which reports you would like to receive:

<input type="radio"/> Daily commentary	<input type="radio"/> Dairy	<input type="radio"/> Weekly macro market update
<input type="radio"/> Bond issue announcements	<input type="radio"/> Carbon	<input type="radio"/> Trade recommendations
<input type="radio"/> Metals	<input type="radio"/> Power	<input type="radio"/> Seminar invitations
<input type="radio"/> Grains & softs	<input type="radio"/> SPI	<input type="radio"/> General company announcements
Breaking news – 24 hour	<input type="radio"/> Email	<input type="radio"/> Mobile
Breaking news – from 8pm to 8pm	<input type="radio"/> Email	<input type="radio"/> Mobile

## 6. Risk Disclosure Statement

The risk of loss in trading in Contracts can be substantial. You should therefore carefully consider whether that kind of trading is appropriate for you in the light of your financial circumstances. In deciding whether or not you will become involved in that kind of trading, you should be aware of the following matters:

- You could sustain a total loss of the Margin funds that you deposit with us to establish or maintain a position on the Derivatives Market, on a F&O Exchange or in relation to a Contract traded Off-Exchange.
- If the market price moves against your position, you may be required, at short notice, to deposit with us additional Margin funds in order to maintain your position. Those additional funds may be substantial. If you fail to provide

those additional funds within the required time, your position may be liquidated at a loss and in that event you will be liable for any shortfall in your Account resulting from that failure.

- c. Under certain conditions, it could become difficult or impossible for you to liquidate a position (this can, for example, happen when there is a significant change in prices over a short period).
- d. The placing of contingent orders (such as a "stop-loss" or "stop price" order) may not always limit your losses to the amounts that you may want. Conditions may make it difficult to execute such orders.
- e. A "spread" position is not necessarily less risky than a "long" or "short" position.
- f. The high degree of leverage that is obtainable in trading Contracts because of small margin requirements can work against you as well as for you. The use of leverage can lead to large losses as well as large gains.
- g. If you propose to trade in options, the maximum loss in buying an option is the amount of the premium, but the risks in selling an option are the same as in other Contracts.

The risk of Short Selling of Securities is that the market could move against you and you could suffer loss as a consequence.

Investment and trading in Securities can present risks that may impact on income and yield performance, and place capital at risk. You should be aware of these risks that may include (without limitation) market, company, industry and country exposure risk, and currency, economic and political risk. There are increased risks associated with borrowing to purchase Securities or buying Securities which are not quoted on an Exchange.

The risk of equity investments is that it may not be possible to recover your original investment where, for example, the sale price for your investment is less than the price paid, or your investment cannot be sold (where there is no market for them or the market is effectively illiquid), or the company in which you have invested is insolvent or placed in receivership or liquidation.

The risks set out in the Risk Disclosure Statement may change from time to time. Please refer to our latest published Disclosure Statements in relation to our services.

## 7. Client Acknowledgements and Declarations

By completing and signing this Account Application, you acknowledge and agree that:

- a. You have:
  - i. Received a copy of OMF's General Terms and Conditions and either these are understood or they have been explained to you by an Advisor or another agent of OMF. You agree to be bound by the terms and conditions set out in this Agreement (as provided to you or posted on [www.omf.co.nz](http://www.omf.co.nz), and as amended or replaced from time to time).
  - ii. Received and read section 7 above ("Risk Disclosure Statement") and either you understand the terms used or such terms have been explained to you by an Advisor or another agent of OMF.
  - iii. Read OMF's Disclosure Statement (available on the OMF website).
  - iv. Received a copy of your OMF Advisor's Disclosure Statement.
  - v. Read OMF's Product Disclosure Statements where applicable to this account.
  - vi. Determined that trading through this Account is suitable for you.
  - vii. Appointed us to facilitate dealing in Contracts and/or Securities in accordance with the terms of the Risk Disclosure Statement and all other terms of this Agreement.
- b. We are regulated in the conduct of our dealings in Instruments Traded on the Market by NZX in accordance with the Exchange Rules. We are also regulated by NZX (in relation to Contracts traded on a F&O Exchange or Off-Exchange) to the extent that we provide advice to and/or accept funds from you in respect of Contracts.
- c. This Account Application does not disclose all of the risks and other significant aspects involved in Trading Instruments on the Market or trading on a F&O Exchange or Off-Exchange. You should therefore study trading in Instruments carefully before becoming involved in it.
- d. You are not aware and do not have any reason to suspect that any Account Holder or Authorised Representative /Trader is a Politically Exposed Person (as defined in the Anti-Money Laundering and Countering Financing of Terrorism Act 2009) or that any of the monies used to fund the transactions for this Account are derived from money laundering or terrorism financing or any other illegal activity as defined by the laws of New Zealand.
- e. Your client funds are held by us in accordance and subject to the terms set out in clause 6 of the General Terms

and Conditions.

- f. You give your full and informed consent to OMF to verify your identity by disclosing your personal information such as your name, date of birth and address to a credit reporting agency or identity verification service for the purpose of undertaking an electronic identity verification in connection with this application and AML/CTF rules and regulations. You agree to provide certified copies of identification documents to OMF and any other additional information if requested in order for OMF to comply with AML/CTF rules and regulations.
- g. You confirm that all of the information you have provided to us, including in this Account Application is accurate and complete, and you will advise us of any changes to this information. You further acknowledge that we may be obliged to share this information with relevant domestic and foreign tax authorities in accordance with applicable tax laws and regulations, including FATCA and CSR.
- h. The Account Holder is the Beneficial Owner of the funds to be deposited to the Account and is not acting on behalf of another.

8. Signature

The Account Holder(s) must sign this Account Application.

Account Holder signature	
Signed by (full name)	
Date	

Joint Account Holder signature	
Signed by (full name)	
Date	

9. Final Checklist

I have attached copies of the following documents:

Please tick

- ☐ **NZ or Aust residents only:** A copy of your driver’s licence, or a passport, AND proof of your residential address dated within the last 12 months. Acceptable documents are:
  - Utility bill or rates notice
  - Bank statement
  - Tenancy Agreement
  - Any government issued document
- ☐ **Other residents:** Certified copies of identification documents verifying full name, residential address and date of birth in accordance with OMF’s AML Verification Certificate available on our website ([www.omf.co.nz](http://www.omf.co.nz))
- ☐ Proof of bank account details in the same name as the account holder. We will use the bank account provided as a primary standard settlement instruction and funds will be paid into this account. Acceptable documents are:
  - Bank encoded deposit slip
  - Any other confirmation issued by your bank confirming your bank account name
  - Bank statement

Please mail your completed form and any supporting documentation to: **OMF, PO Box 5830, Wellesley Street, Auckland, 1141**. Alternatively scan or photograph your documents and email to [info@omf.co.nz](mailto:info@omf.co.nz). We may require additional information and/or documentation from you in order to meet our regulatory obligations. We will notify you if that is the case.

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