



Application Form

(Private Company, Trust & Partnership Accounts)

Auckland
0800 863 325

Wellington
0800 663 935

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 OMF's General Terms and Conditions. Capitalised terms used in this Account Application and not defined have the meanings given in OMF's 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 OMF's General Terms and Conditions ("Agreement"). OMF's General Terms and Conditions are available on our website www.omf.co.nz.

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

Warning - U.S. Residents:

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 an Associated Person is 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
(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 |

Additional comments

Scope of Service

Please select which type of advisory 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).

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.

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.

2. Account Holder Details

Company /Trust/Partnership Information

Please provide copies of constitutive documents if established outside New Zealand or Australia

If different to the name listed above

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

Name of Account Holder	
Registration number (if applicable)	Country of establishment
Nature of business/investment activity	

Account name	
Mailing address	
	Postcode
Principal place of business	
	Postcode
Primary contact name	
Primary contact number	
Primary email address	

Account Type

Please select what type of entity the account holder is:

<input type="radio"/> Private company	<input type="radio"/> Partnership	<input type="radio"/> Incorporated Society
<input type="radio"/> Trust	<input type="radio"/> Other (please state) _____	

Statement of Financial Position

These details must be completed prior to the Account being opened.

Net assets (please tick)	Gross annual revenue (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 +	

Source of wealth (tick all that apply)

<input type="radio"/> Earnings/revenue	<input type="radio"/> Capital contribution/equity
<input type="radio"/> Savings/investments	<input type="radio"/> Sale of assets
<input type="radio"/> Inheritance	<input type="radio"/> Other (please state) _____

Associations

Are any of the persons who are associated with the Account Holder by being a shareholder, owner, trustee, beneficiary, principal, director or authorised person 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?	<input type="radio"/> No	<input type="radio"/> Yes (please provide details)
A director or senior manager of a publically listed company?	<input type="radio"/> No	<input type="radio"/> Yes (please provide details)
An employee of a registered bank in New Zealand or overseas ("Bank") and subject to internal trading restrictions?	<input type="radio"/> No	<input type="radio"/> Yes (please provide details)

Definitions can be found in OMF's General Terms and Conditions, but if you have any queries then please contact us.

If 'Yes' is answered to any of the questions above, OMF may require seek further information before the account can be opened.

Shareholding Registration

If you wish to trade Securities through the markets provided by the 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 Standard (CRS) Certifications)

Is the Account Holder a tax resident of New Zealand?	<input type="radio"/> No	<input type="radio"/> Yes (Please complete details below)
Is the Account Holder a tax resident in any jurisdiction outside of New Zealand?	<input type="radio"/> No	<input type="radio"/> Yes (Please complete CRS-2 form available on our website)
Is any Controlling Person of the Account Holder a tax resident in any jurisdiction outside New Zealand?	<input type="radio"/> No	<input type="radio"/> Yes (Please complete CRS-3 form available on our website)

New Zealand Tax Resident

IRD number			
Are you GST registered?	<input type="radio"/> No	<input type="radio"/> Yes	GST number (if applicable)
If you answered 'Yes' to the above question, are you able to recover 75% of GST?		<input type="radio"/> No	<input type="radio"/> 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

☐ 17.5%

☐ 28%

☐ 30%

☐ 33%

☐ Exempt*

* a copy of your IRD exemption certificate must be enclosed

FATCA Declaration

Is the Account Holder or any of the Associated Persons, listed in Section 5 a U.S. person, citizen, Green Card holder or U.S. tax resident ?	<input type="radio"/> No	<input type="radio"/> Yes
If you answered yes to the above question, is the Company a financial institution for the purpose of FATCA?	<input type="radio"/> No	<input type="radio"/> Yes
GIIN / FATCA status		

If yes, please provide the Account Holder's Global Intermediary Identification Number ("GIIN")
If the Account Holder does not have a GIIN, please provide FATCA status

4. Trading Experience

As an 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 or 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.

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 (Please complete details below)
Can you access investment research and information about derivative trading?	<input type="radio"/> No	<input type="radio"/> Yes (Please complete details below)
Do you have experience trading derivatives?	<input type="radio"/> No	<input type="radio"/> Yes (Please complete details below)

5. Associated Persons

This section must be completed for all Authorised Persons and Beneficial Owners that are associated with this Account. All individuals named in this section are required to be identified in accordance with Section 9 of this form.

- **Authorised Person** is someone that can provide us with instructions in relation to your account, subject to any agreed restrictions. OMF accepts no responsibility for any unauthorised or fraudulent actions undertaken by any Authorised Person in relation to your Account.
- **Beneficial Owners** are those individuals who;
 - a. own more than 25% of the Account Holder, or
 - b. on whose behalf a transaction is conducted e.g. a customer, beneficiary or any other person having a beneficial or third party interest ("Beneficiary"), or
 - c. who might be considered to be in effective control of the Account Holder e.g. directors, trustees, or any executives.
 - d. in the case of a Trust, the Settlor(s) and Protector(s)

Excluding beneficiaries of Discretionary or Charitable Trusts or trusts with more than 10 beneficiaries.

Person 1

Title	Surname		
First name	Middle name		
Any other name known by			
Date of birth	Nationality		
Residential address			
Postcode			
Country of residence			
Email	Phone number		
Drivers Licence/Passport Number		Version No./Expiry Date	
Authority	<input type="radio"/> Full	<input type="radio"/> Trading only	<input type="radio"/> Payments only
Ownership	<input type="radio"/> +25% Owner /Principal	<input type="radio"/> Beneficiary (please specify) _____	
	<input type="radio"/> Settlor/Protector	<input type="radio"/> Effective control (please state position) _____	

Please include version no. for NZ driver's license if applicable.

Relationship to Account Holder	
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Person 2

Title	Surname		
First name	Middle name		
Any other name known by			
Date of birth	Nationality		
Residential address			
Postcode			
Country of residence			
Email	Phone number		
Drivers Licence/Passport Number		Version No./Expiry Date	
Authority	<input type="radio"/> Full	<input type="radio"/> Trading only	<input type="radio"/> Payments only
Ownership	<input type="radio"/> +25% Owner /Principal	<input type="radio"/> Beneficiary (please specify)	
	<input type="radio"/> Settlor/Protector	<input type="radio"/> Effective control (please state position)	
Relationship to Account Holder			

Please include version no. for NZ driver's license if applicable.

Person 3

Title	Surname		
First name	Middle name		
Any other name known by			
Date of birth	Nationality		
Residential address			
Postcode			
Country of residence			
Email	Phone number		
Drivers Licence/Passport Number		Version No./Expiry Date	
Authority	<input type="radio"/> Full	<input type="radio"/> Trading only	<input type="radio"/> Payments only
Ownership	<input type="radio"/> +25% Owner /Principal	<input type="radio"/> Beneficiary (please specify)	
	<input type="radio"/> Settlor/Protector	<input type="radio"/> Effective control (please state position)	
Relationship to Account Holder			

Please include version no. for NZ driver's license if applicable.

Person 4

Title	Surname		
First name	Middle name		
Any other name known by			
Date of birth	Nationality		
Residential address			
Postcode			
Country of residence			

Please include version no. for NZ driver's license if applicable.

Email	Phone number
Drivers Licence/Passport Number	Version No./Expiry Date
Authority	<input type="radio"/> Full <input type="radio"/> Trading only <input type="radio"/> Payments only <input type="radio"/> Not applicable (None)
Ownership	<input type="radio"/> +25% Owner /Principal <input type="radio"/> Beneficiary (please specify) <input type="radio"/> Settlor/Protector <input type="radio"/> Effective control (please state position)
Relationship to Account Holder	

Person 5

Title	Surname
First name	Middle name
Any other name known by	
Date of birth	Nationality
Residential address	
Postcode	
Country of residence	
Email	Phone number
Drivers Licence/Passport Number	Version No./Expiry Date
Authority	<input type="radio"/> Full <input type="radio"/> Trading only <input type="radio"/> Payments only <input type="radio"/> Not applicable (None)
Ownership	<input type="radio"/> +25% Owner /Principal <input type="radio"/> Beneficiary (please specify) <input type="radio"/> Settlor/Protector <input type="radio"/> Effective control (please state position)
Relationship to Account Holder	

Please include version no. for NZ driver's license if applicable.

Person 6

Title	Surname
First name	Middle name
Any other name known by	
Date of birth	Nationality
Residential address	
Postcode	
Country of residence	
Email	Phone number
Drivers Licence/Passport Number	Version No./Expiry Date
Authority	<input type="radio"/> Full <input type="radio"/> Trading only <input type="radio"/> Payments only <input type="radio"/> Not applicable (None)
Ownership	<input type="radio"/> +25% Owner /Principal <input type="radio"/> Beneficiary (please specify) <input type="radio"/> Settlor/Protector <input type="radio"/> Effective control (please state position)
Relationship to Account Holder	

Please include version no. for NZ driver's license if applicable.

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:

- a. 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.
- b. 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. This statement 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.

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, and as amended or replaced from time to time).
 - ii. Received and read section 6 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), and, where applicable you OMF Advisor's Disclosure Statement, and OMF's Product Disclosure Statement.
 - iv. Determined that trading through this Account is suitable for you.
 - v. 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. Subject to any agreed restrictions, each Authorised Person has full authority to operate this Account on your behalf and OMF may act on the instructions of any one Authorised Person, without first referring to any other person.
- d. You are authorised on behalf of the Account Holder to complete this application on it's behalf.
- e. You are not aware and do not have any reason to suspect that any Associated Person 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.
- f. Each Associated Person consents to OMF disclosing their personal information to a credit reporting agency or identity verification service for the purpose of verifying their identity in connection with this application and AML/CTF rules and regulations.
- g. You confirm that all of the information and documents you have provided to us, including in this Account Application are 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. Your client funds are held by us in accordance with and subject to the terms set out in clause 6 of OMF's General Terms and Conditions.
- i. Except where otherwise disclosed, the Account Holder is the Beneficial Owner of the funds to be deposited to the Account and is not acting on behalf of another. **You agree to notify OMF if transactions on the account are conducted on behalf of any other person (e.g. client/customer).**

8. Signatures

This application must be signed (as a minimum) by either:

- One director/partner
- All trustees
- Two properly authorised signatories who have been named in section 5.

Please print

Director/ Trustee/ Authorised Signatory signature	
<div></div>	
Date	
Director/ Trustee/ Authorised Signatory name	

Please print

Director/ Trustee/ Authorised Signatory signature	
<div></div>	
Date	
Director/ Trustee/ Authorised Signatory name	

Please print

Director/ Trustee/ Authorised Signatory signature	
<div></div>	
Date	
Director/ Trustee/ Authorised Signatory name	

9. Final Checklist

We attach copies of the following documents in respect to each Associated Persons named in this application or otherwise associated with the Account.

Please tick

☐ **NZ or Australian 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)

☐ Proof of bank account details in the 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

☐ Required constitutive documents e.g. Partnership agreement, Trust deed or authorising resolutions.

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. 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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