

Account Application Form

Effective date: August 2023

APPLICATION INSTRUCTIONS

Please check the details that you have provided are correct and that the application form is signed with wet signatures.

Then please send your completed application to us by post, or email with scanned copies using the following details:

Post

LMAX c/o
Generator, Level
10-12, 11
Britomart Place,
Britomart,
Auckland 1143,
New Zealand

Email

registrations@LMAX.com



| Global

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Effective date: August 2023

This document forms part of the client agreement with LMAX New Zealand Limited.

To open an LMAX Global account, please complete all sections in full, using BLOCK CAPITALS.

Please call +64 4889 4510 if you have any questions.

Personal Details	
Title: Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/> Miss <input type="checkbox"/> Dr <input type="checkbox"/> Other: _____	
First Name:	
Surname:	
Date of Birth:	Nationality:
Place of Birth:	
Are you a Politically Exposed Persons? (Y/N)	
Address Line 1:	Town:
Address Line 2:	County:
Address Line 3:	Post code:
Country of Residence:	
Email Address:	
Primary phone number: (mobile preferred)	Secondary phone number: (landline)

Financial Details	
Employment status: Employed <input type="checkbox"/> Self-employed <input type="checkbox"/> Retired <input type="checkbox"/> Other: _____	
Company name (if relevant):	
Type of Business (if relevant):	
Position/Role (if relevant):	
Approximate annual income:	
Source of annual income:	
Approximate monthly disposable income:	
Approximate value of Savings & Investments: (excluding pensions, ISAs, PEPs and other non-liquid assets)	
Please state the source of your trading resources: (i.e., savings, employment income, investments, etc)	

Tax Residency and Tax Identification Number

Tax regulations¹ require the collection of certain information about each Account Holder's residency, including the Shareholders of corporate entities. Please complete, where applicable, the tax residency and the Tax Identification Number (TIN) or a functional equivalent. In certain circumstances, please note that LMAX Global may be required to share this information with relevant tax authorities.

Each jurisdiction has its own rules for defining tax residence, and jurisdictions have provided information on how to determine if you are resident in the jurisdiction on the following website:

<https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance>

Please indicate all countries in which you are resident for tax purposes and the associated Tax Identification Numbers in the table below. If you are a US citizen or resident, please include United States in this table along with your US Tax Identification Number.

¹ The term "tax regulations" refers to regulations created to enable automatic exchange of information and include FATCA², various Agreements to Improve International Tax Compliance entered into between the UK, the Crown Dependencies and the Overseas Territories, and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information.

² The term "tax regulations" refers to The Foreign Account Tax Compliance provisions contained in the US Hire Act 2010

Country/Countries of Tax Residency	Tax Identification Number

If you are not resident in any country for tax purposes, please tick this box

☐

Signature:

Date

D

D

M

M

Y

Y

Y

Y

Full name:

Trading Experience

How many FX trades have you made in the past 12 months?

0 ☐

1 – 20 ☐

21+ ☐

How many CFD, spread bets, shares, or futures trades have you made in the past 12 months?

0 ☐

1 – 20 ☐

21+ ☐

Do you hold industry recognised qualifications for trading CFDs/FX or leveraged products; or work in/have worked in the financial sector for at least one year in a professional position, which requires knowledge and understanding of CFDs/FX or leveraged products? Yes ☐ No ☐

Account Details	
Proposed Username: (Memorable word between 6-20 characters in length)	Account Base Currency: GBP <input type="checkbox"/> EUR <input type="checkbox"/> USD <input type="checkbox"/> AUD <input type="checkbox"/> CAD <input type="checkbox"/> JPY <input type="checkbox"/> CHF <input type="checkbox"/> SEK <input type="checkbox"/> SGD <input type="checkbox"/> HKD <input type="checkbox"/> PLN <input type="checkbox"/> HUF <input type="checkbox"/>
How much did you pay for your first car?	To what city did you go the first time you flew on a plane?

Declaration
<p>In signing and returning this form I confirm that:</p> <ul style="list-style-type: none"> I declare that I am 18 years old or over and that the information I have provided as part of this application process is true. I have read and understood and agree to be bound by the LMAX New Zealand Limited Agreement that is comprised of the current versions published on the website of (a) the Terms of Business, (b) the Risk Warning Notice, (c) the Trading Manual, (d) the Order Execution Policy, (e) the Privacy and Cookie Policy and (f) (where applicable) the API agreement. I acknowledge that all of the documents that constitute the LMAX New Zealand Limited Agreement and supplementary documents as available from the website including, but not limited to Summary Conflicts of Interest Policy, or any other document that may form part of your agreement with us, may be amended from time to time as permitted by the terms of the Terms of Business and that any later versions will govern my trading relationship with LMAX New Zealand Limited from the effective dates set out in the Terms of Business. As stipulated in Clause 5 of the Privacy Policy, I understand that my personal information may be shared or disclosed within the LMAX Group. The Applicant is not involved in any criminal, unlawful or money laundering activity and the above- mentioned funds as well as funds to be used in the future are clear, shall not be derived from or otherwise be connected with any activity which is illegal or unlawful. The source of the funds is not in breach of money laundering regulations and laws in New Zealand or elsewhere. The Applicant is not currently insolvent and any transfer of assets involving the company will not render my estate or myself insolvent. It is further declared that the Applicant has never been convicted in any court of law for a criminal offence or financial crime OR the Applicant has not been subject to any bankruptcy, liquidation or similar proceedings and that no orders have been issued against the Applicant by any legal or regulatory enforcement bodies. The Applicant is not applying as nominee, trustee or on behalf of any other person (to be amended as applicable and details to be provided in case a person is acting as nominee, trustee or on behalf of other person). LMAX Global may disclose this information to law enforcement authorities when required by applicable laws and the Applicant shall inform LMAX Global of any change herein and provide any additional information required by LMAX Global. I declare that I am aware that the trading service provided by LMAX New Zealand Limited carries a high level of risk and can result in losses that exceed the balance of cash held on my account at any time. <p>You should not open an account with LMAX Global unless you understand the nature of its trading services and the extent of your exposure to risk.</p>

Agreement									
By signing this form, you represent that all the information contained herein is true and accurate and you agree on behalf of the applicant to be bound by our Agreement.									
Signature:	Date	D	D	M	M	Y	Y	Y	Y
Full name:									