

## Individual Application Form Hong Kong residents only

012.IA.HKv19.28.07.2015



## INDIVIDUAL ACCOUNT APPLICATION

Before completing the following form it is essential that you have read and understood all the terms and conditions concerned with your One Financial Markets trading account as detailed in the Client Agreement.

We will use the information provided in this form to assess your suitability to open an account. For this reason it is essential that all the information provided is entirely accurate and if, at a future date, any circumstances adversely affect this information you are required to notify us in writing to advise us of these details.

Please type or print clearly using block letters and ensure you initial each page. Incomplete applications will not be approved.

For joint accounts, each applicant should complete a separate form.

For any questions related to the completion of this form, the terms and conditions or the required supporting documents please contact Client Services on **hkclientservices@ofmarkets.com** or **tel: +852 2107 2700**

## SUPPORTING DOCUMENTATION

All application forms must be accompanied by proof of identity and proof of residential address.

### ACCOUNT INFORMATION

What account type do you require?  Standard  DMA MT4  DMA Tradable

Please select your account currency:  USD  EUR  GBP

Will any other person trade on your behalf?  Yes  No

If "Yes" you will be asked to provide a completed LPoA and supporting ID documents.

How did you hear about us?

Magazine (please specify)  Seminar  Online Ad  Search Engine (please specify)

Friend (please specify)  Newspaper  Other (please specify)  Introducer (please specify)

Please specify:

Are you trading on behalf of another person?  No

Yes (please provide his/her name):

## PERSONAL DETAILS

Please ensure you state your name exactly as it appears on your passport or other photo ID document.

Title:	<input type="text"/>	Gender:	<input type="checkbox"/> M	<input type="checkbox"/> F
First name:	<input type="text"/>			
Middle name(s):	<input type="text"/>			
Surname:	<input type="text"/>			
Date of birth (dd/mm/yyyy):	<input type="text"/>	Nationality:	<input type="text"/>	
Email address:	<input type="text"/>			
Passport/ID card number:	<input type="text"/>			

## ADDRESS DETAILS

House/flat name or number:	<input type="text"/>			
Street name:	<input type="text"/>			
Town:	<input type="text"/>			
City:	<input type="text"/>			
Postcode:	<input type="text"/>	Country:	<input type="text"/>	
Mobile telephone:	<input type="text"/>	Landline telephone:	<input type="text"/>	

## EMPLOYMENT & FINANCIAL INFORMATION

We request details about your financial situation as part of our regulatory duty to assess that the proposed account is suitable for you and we do not pass any of this information to any third party.

Employment status: (please tick one)

Employed:

Industry:

Company name:

Position:

Self employed:

Industry:

Company name:

Retired:

Previous industry:

Position held:

Student:

Educational institution:

Unemployed

Number of years at previous employment:

Approximate annual income (from all sources) (USD or equivalent):

Approximate value of savings and investments excluding private residence (USD or equivalent):

Approximate value of funds available for trading per annum (USD or equivalent):

Please indicate the source(s) of your funds for trading: ((please tick one or more)

Employment/self employment  Inheritance  Family/partner income  Savings  Pension

Property income  Investments  Benefits or borrowing

Other (please specify):

Expected initial deposit (USD or equivalent):

## BANK DETAILS

Bank name:

Account number:

Account holder name:

## POLITICALLY EXPOSED PERSON (PEP)

A Politically Exposed Person is an individual who is or has at any time been entrusted with **prominent public functions** and an **immediate family member**, or known **close associate of such a person**.

### A - Prominent public functions include:

- Heads of State, heads of government, ministers and deputy or assistant ministers;
- Members of parliaments;
- Members of supreme courts, of constitutional courts or of other high-level judicial bodies whose decisions are not generally subject to further appeal, except in exceptional circumstances;
- Members of courts of auditors or of the boards of central banks;
- Ambassadors, chargés d'affaires and high-ranking officers in the armed forces; and
- Members of the administrative, management or supervisory boards of State-owned enterprises.

Please note that the categories above do not include middle-ranking or more junior officials.

### B - (immediate family members of such persons as set out under part A are also Politically Exposed Persons, this includes:)

- A spouse;
- A partner (including a person who is considered by his national law as equivalent to a spouse);
- Children and their spouses or partners; and parents.

### (Close associates of such persons as set out under part A are also Politically Exposed Persons, this includes:)

- Any individual who is known to have joint beneficial ownership of a legal entity or legal arrangement, or any other close business relations, with a person as stated in part A; and
- Any individual who has sole beneficial ownership of a legal entity or legal arrangement which is known to have been set up for the benefit of a person as stated in part A.

Please tick to confirm:

I have read and understood the definition provided and can confirm I am NOT a politically exposed person

I have read and understood the definition provided and can confirm I am a politically exposed person

## PREVIOUS TRADING EXPERIENCE

In the last 12 months how often (on average) have you traded the following products?

	Never	Rarely ( $<$ once a month)	Sometimes ( $>$ 3 times a month)	Often ( $>$ 10 times a month)
Forex (spot or forward)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bullion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## MARKET KNOWLEDGE & AWARENESS

Do you have any current/ former employment, professional experience or qualifications which would assist your understanding of CFDs and FX and the risks of trading leveraged products?

- Yes, I have a good understanding of how the market works due to employment in the financial services industry
- Yes, I have a good understanding of how the market works due to relevant professional qualifications or education
- No, I have no relevant employment or experience/qualifications

Do you understand the nature and risk of trading margined/leveraged products?  Yes  No

Do you understand that you can lose more than your initial deposit or margin payment?  Yes  No

Do you understand that volatile market conditions may impact our ability to generate prices or to execute your orders?  Yes  No

Do you understand that, whilst we endeavour to provide fixed spreads, you may see fluctuations in times when the underlying market is illiquid or volatile?  Yes  No

Are you aware that you must maintain a minimum level of margin in your account to cover any margin requirements?  Yes  No

Do you understand that we are your counterparty and that your positions are not taken with an exchange?  Yes  No

What are your investment objectives?  Speculation  Hedge against other investments

## FATCA - THE FOREIGN ACCOUNT TAX COMPLIANCE ACT

FATCA is a US law that means UK financial institutions must collect information on US tax residents using foreign accounts.

Are you a citizen of the United States of America?  Yes  No

Tax identification number (if applicable):

## DECLARATIONS

Please tick to confirm:

- I have read, understood and accept in full the Client Agreement (including Terms and Conditions and and Risk Warning Notice) (as amended from time to time).
- I understand and accept that my orders will be executed in accordance with One Financial Markets' (as amended from time to time) and that One Financial Markets is an execution only broker and will not provide any investment advice of any nature.

By submitting this application form I confirm that:

- I have access to the internet and consent to One Financial Markets providing me with information about changes to the Client Agreement and/or by posting such information on the Company website
- I understand that margined FX is a leveraged product and that my account shall utilise margined FX in accordance with SFC regulations. I am sure the product is suitable for me and I have been advised of my ability to seek independent financial advice.
- I am over 18 and confirm that the information represented here is true and accurate and not misleading in any respect. I agree to inform One Financial Markets promptly in writing should any of the information provided here cease to be correct.

Signature:

Full name:

Date: