

INGOT BROKERS (AUSTRALIA) PTY LTD

Corporate Account

Company Details (To be completed by corporate applicants acting in their own capacity)

| | | | |
|--------------------------------|----------------------|--------------------------|----------------------|
| Company Name: | <input type="text"/> | | |
| Company Type: | <input type="text"/> | | |
| ABN/ACN/Company No.: | <input type="text"/> | Country of Registration: | <input type="text"/> |
| Main Contact: | <input type="text"/> | | |
| Position: | <input type="text"/> | | |
| Registered Address: | <input type="text"/> | | |
| Country/State/Postcode: | <input type="text"/> | | |
| <u>Contact Details:</u> | | | |
| Business Phone: | <input type="text"/> | | |
| Email: | <input type="text"/> | | |

Please note: different email must be used if you are an existing client.

DIRECTORS

Please provide details for ALL company directors

| | | | |
|-------------------------------|----------------------------|------------------------------|----------------------|
| Full Name: | <input type="text"/> | | |
| Gender: | <input type="radio"/> Male | <input type="radio"/> Female | |
| Date of Birth: | <input type="text"/> | Citizenship: | <input type="text"/> |
| Passport, ID card or Licence: | <input type="text"/> | Mobile Phone: | <input type="text"/> |
| Other Phone: | <input type="text"/> | Email: | <input type="text"/> |
| Residential Address: | <input type="text"/> | | |

Full Name:

Gender:

☐

Male

☐

Female

Date of Birth:

Citizenship:

Passport, ID card or Licence:

Mobile Phone:

Other Phone:

Email:

Residential Address:

City, State, Postcode:

Full Name:

Gender:

☐

Male

☐

Female

Date of Birth

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Passport, ID card or Licence:

Mobile Phone:

Other Phone:

Email:

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City, State, Postcode:

Full Name:

Gender:

☐

Male

☐

Female

Date of Birth:

Citizenship:

Passport, ID card or Licence:

Mobile Phone:

Other Phone:

Email:

Residential Address:

City, State, Postcode:



+612 80 46 65 00



info@ingotbrokers.com.au

Level 25, Aurora Place, 88 Phillip
Street Sydney NSW 2000, Australia

BENEFICIAL OWNER DETAILS

Beneficial Owner Details

Under part 1 of the Australian Anti-Money Laundering Counter Terrorism Financing Act we are required in the case of a private company only, to obtain the following details of the beneficial owners:

Shareholder Full Name:

Residential Address:

City, State, Postcode:

Percentage Shareholding:

Shareholder Full Name:

Residential Address:

City, State, Postcode:

Percentage Shareholding:

Shareholder Full Name:

Residential Address:

City, State, Postcode:

Percentage Shareholding:

Shareholder Full Name:

Residential Address:

City, State, Postcode:

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City, State, Postcode:

Percentage Shareholding:

Shareholder Full Name:

Residential Address:

City, State, Postcode:

Percentage Shareholding:

FINANCIAL DECLARATION

Bank Name:

Swift / BSB Code:

Bank Address:

Account Name:

Account Number:

IBAN:

Total Estimated Income:

- ☐ Under 25,000
☐ 25,000 – 49,000
☐ 50,000 – 99,000

Risk Tolerance:

- ☐ Conservative
☐ Average
☐ Aggressive

REFERAL

How did you hear about INGOT Brokers?

- ☐ Web Search ☐ Online Ad ☐ Friend referral ☐ Print Ad ☐ Other
- ☐ Introducing Broker Name: Number:

*Select the Platform you prefer

Platform

- ☐ MT4 ☐ MT5 ☐ GTN ☐ Others

*Select the Spread Features you prefer

Spread Features

- ☐ ECN ☐ Professional ☐ Prime

Client Eligibility

INGOT Brokers (Australia) Pty Ltd adheres to strict guidelines set out by ASIC in Regulatory Guide 227 (RG227).

With best-practice guidance, we need to ascertain that new clients meet a certain level of experience and knowledge in trading Over-the-Counter (OTC) derivatives such as CFDs, FX, and Commodities.

Before opening live CFDs, FX and Commodities with INGOT Brokers (Australia) Pty Ltd, we are required to ensure prospective clients understand the complex nature of derivatives trading and the trading platforms used to trade them. Clients should read the PDS carefully and be aware that trading derivatives may not be suitable for all investors; please ensure that you fully understand the risks involved.

Question 1

What does CFD stand for?

- ☐ Commission Futures Deduction. ☐ Contract for Difference.

Question 2

Positions will automatically be closed at market price if I do not have enough margin (money) to cover the losses of my trades.

- ☐ True. ☐ False.

Question 3

What is NOT an appropriate research tool for Over - the - Counter (OTC) derivatives such as CFDs, FX and Commodities traders?

- ☐ Wall Street Journal. ☐ Cosmopolitan.

Question 4

What is Risk Management?

- ☐ Minimizing, monitor and controlling the probability and/or impact of unforeseen events.
☐ Adding more systematic risk and non-systematic risk on your company.

Question 5

Which of the following statements is NOT true about derivatives?

- ☐ The price of a derivative is set and controlled by ASIC.
☐ The price of a derivative is derived from an underlying reference instrument.

Compensation Acknowledgement

NOTICE: The purpose of this document is for you, the clients, to advise INGOT Brokers (Australia) Pty Ltd as to the compensation you have agreed to pay your designated Introducing Broker, if any. Please be advised that INGOT Brokers (Australia) Pty Ltd is not responsible for calculating incentive fees or management fees and will assume the calculations provided to it by the Introducing Broker to be correct. Please also note that if your IB has requested INGOT Brokers (Australia) Pty Ltd to mark up the spread (widen the spread on the prices) being streamed to you, that INGOT Brokers (Australia) Pty Ltd does not participate in the additional pip(s) being added to the pricing and that the mark-up will not be reflected on your trading statement as a separate line item.

We, the undersigned clients, hereby agree to, authorize and acknowledge that the said fee(s) will be charged to our account and paid to the Introducing Broker.

Declaration

We, ALL the directors, confirm by signing or submitting electronically the Application, that we have had access to, reviewed and understand the full set of INGOT Brokers (Australia) Pty Ltd legal documents including this Client Agreement, PDS and FSG. We understand the risks of electronic Foreign Exchange margin trading and the terms we deal with INGOT Brokers (Australia) Pty Ltd and ourselves. We declare the above information in this Client Agreement is true and correct. We declare that we have read and understood the Compensation Acknowledgement.

Have ALL Directors read and understood the PDS? ☐

Have ALL Directors read and understood the FSG? ☐

Do ALL Directors understand the nature and risks of margined products? ☐

Full Printed Name:

Signature:

Date:

Full Printed Name:

Signature:

Date:

Full Printed Name:

Signature:

Date:

Full Printed Name: Signature: Date: **Identity Requirements**

INGOT Brokers Pty Ltd is required by the Australian Anti-Money Laundering and Counter Terrorism Financing Act 2006 to verify the identity of your company and that of EACH director.

The identity requirements are as follows:

ID for Company

Certificate of Incorporation

AND

Current Company Statement (Showing names of ALL Directors)

OR

Company Extract (Showing names of ALL Directors)

ID For EACH Director

Proof of ID* :

- Governmental Issued Photo ID such as: Passport or Drivers License

AND Proof of Address**:

- Utility Bill, Bank Statement or a Notice from a Gov. Tax Office

* must not have expired

** less than 3 months old