



Bacera Co Pty Ltd

INDIVIDUAL ACCOUNT APPLICATION

ACN: 130 877 137

AFS LICENCE NO: 328794

ISSUER: BACERA CO PTY LIMITED

ISSUE DATE: July 1st, 2009

INDIVIDUAL ACCOUNT APPLICATION FORM

Please answer all questions fully.

Please select a PASSWORD (can only contain alphanumeric characters (a-z,A-Z,0-9) and must be between 4-10 characters)	Email Address (Required)		
Security Question: <input type="checkbox"/> What is your Mother's maiden name? <input type="checkbox"/> What is your pet's name? <input type="checkbox"/> What is your nickname?	Security Answer:		
General Information			
Primary Account Holder Last Name: _____ First Name: _____ Middle Name: _____ Gender: <input type="checkbox"/> Male <input type="checkbox"/> Female Marital Status: <input type="checkbox"/> Single <input type="checkbox"/> Married			
Tax File Number, Social Security Number, Passport, Driver's License or Reason for Exemption (Please attach a copy)			
Date of birth (MM/DD/YY)	Citizenship		
Residential Address			
Residential Address 2nd Line			
City/Suburb	State/Province	Post/Zip Code	Country of Residence
Home Telephone No.	Home Fax No.	Mobile Phone No.	

Employment Details <input type="checkbox"/> Employed <input type="checkbox"/> Self-employed <input type="checkbox"/> Retired <input type="checkbox"/> Unemployed			
Name of Current Employer	Nature of Business	Occupation	Years with current employer
Business Address		Business Telephone No.	
Banking Information			
Bank Name		Bank Address	
Bank Account Number		Name of Account Holder (Beneficiary)	
SWIFT Code or ABA Number		Person to Contact at Bank	
Financial Information			
<p>1. What is your total estimated annual income?</p> <p><input type="checkbox"/> Under \$25,000</p> <p><input type="checkbox"/> \$25,000 - \$49,999</p> <p><input type="checkbox"/> \$50,000 - \$99,999</p> <p><input type="checkbox"/> \$100,000 - \$249,999</p> <p><input type="checkbox"/> \$250,000 - \$1,000,000</p> <p><input type="checkbox"/> Over \$1,000,000</p> <p>2. Net worth (assets minus liabilities)</p> <p><input type="checkbox"/> Under \$25,000</p> <p><input type="checkbox"/> \$25,000 - \$49,999</p> <p><input type="checkbox"/> \$50,000 - \$99,999</p> <p><input type="checkbox"/> \$100,000 - \$249,999</p> <p><input type="checkbox"/> \$250,000 - \$1,000,000</p> <p><input type="checkbox"/> Over \$1,000,000</p> <p>3. Liquid assets (assets that can be quickly converted to cash)</p> <p><input type="checkbox"/> Under \$25,000</p> <p><input type="checkbox"/> \$25,000 - \$49,999</p> <p><input type="checkbox"/> \$50,000 - \$99,999</p> <p><input type="checkbox"/> \$100,000 - \$249,999</p> <p><input type="checkbox"/> \$250,000 - \$1,000,000</p> <p><input type="checkbox"/> Over \$1,000,000</p>		<p>4. Risk Capital, including initial deposit. (Risk capital - if lost would not change your lifestyle.) Should be greater than initial investment.</p> <p><input type="checkbox"/> Under \$25,000</p> <p><input type="checkbox"/> \$25,000 - \$49,999</p> <p><input type="checkbox"/> \$50,000 - \$99,999</p> <p><input type="checkbox"/> \$100,000 - \$249,999</p> <p><input type="checkbox"/> \$250,000 - \$1,000,000</p> <p><input type="checkbox"/> Over \$1,000,000</p> <p>5. Have you ever declared bankruptcy?</p> <p><input type="checkbox"/> YES <input type="checkbox"/> NO</p> <p>If YES, provide date and detail (attach letter if necessary) _____</p> <p>6. Do you have or have you ever had any other account(s) with Bacera?</p> <p><input type="checkbox"/> YES <input type="checkbox"/> NO</p> <p>If YES, Account Number(s): _____</p>	

Trading Experience

1. Do you understand the nature of margined transactions?

YES NO

2. Do you understand the risks involved in margined transaction?

YES NO

3. Do you have experience of trading margined product e.g. spot/forward FX, FX options or futures?

YES NO

If YES:

i) What type of investments do you have experience in?

Securities Years? _____ Options Years? _____

Commodities Years? _____ Futures Years? _____

Currencies Years? _____ FX products Years? _____

ii) How frequently do you trade and what is your average deal size?

iii) Which banks/companies have you traded with before?

4. Do you have any other relevant investment experience?

YES NO

If YES, Please give details:

Tax Filing Number & Australian Business Number Notification

For Australian Clients Only -

Collection of Tax Filing Numbers (“TFNs”) is authorized by law, their use and disclosure is regulated by taxation laws and the Privacy Act. It is an offense if you choose not to provide your TFN or ABN. If no TFN or a valid exemption is provided, tax may be taken out of any interest paid to you at the highest marginal tax rate plus the Medicare levy and forwarded to the Australian Taxation Office.

Privacy

The information in this Application Form and any other information provided by the applicant in connection with opening an account are for the purpose and of processing of your account application and to comply with certain laws and regulations. Bacera Co Pty Ltd (“Bacera”) may use this information to send clients details of other services provided by the company. Full details of our privacy policy are available in our Company Product Disclosure Statement.

Bacera will maintain records of all transactions and activities on accounts with Bacera, including details of contracts traded and margin calls made. During the course of a relationship with Bacera, information about products and services utilized by the client will be kept on record.

When assessing a client application, Bacera may also collect information about the prospective client from publicly available sources.

Client personal information will be treated strictly in accordance with the National Privacy Principles in the Australian Privacy Act. An Australian resident customer may at any time, upon request, gain access to the information that the Bacera holds about him or her in accordance with the National Privacy Principles as described below.

Acknowledgements and Declarations

The Client acknowledge and declare to Bacera that in signing this application form:

1. The client has read, understood and agrees to be bound by the documents comprising the Bacera Client Agreement, including the Financial Services Guide (FSG) and Product Disclosure Statement (PDS).

2. The Client has obtained appropriate sufficient advice from an independent expert on potential obligations and liabilities relating to transactions on this account.
3. The Client is advised by Bacera to obtain independent legal advice concerning the opening of an off-exchange, derivatives trading account with the Company.
4. The Client declares that before completing this Application Form, he/she has received and read the FSG and PDS provided by Bacera, and understands the risk associated with investing in the financial products discussed in the FSG and PDS.
5. The Client has given consideration to their objectives, financial situation and needs, and the significant risks of loss which accompany the prospects of profit associated with dealing in financial products with Bacera, and have formed the opinion that dealing in such products is appropriate for their investment purposes.
6. The Client declares that all information provided in this Application Form is true and correct to the best of their knowledge.
7. The Client will promptly notify Bacera in writing if any of the information contained in this application form materially changes or ceases to be correct.
8. The Client acknowledges that Bacera may accept or reject this account application at its complete discretion and may with the Client’s consent amend this application form.
9. If the Client’s application for an account is accepted, the Agreement comprising of Bacera’s FSG and PDS is deemed to be entered into between the Client and Bacera. An account will be opened in the Client’s name in accordance with the relevant Terms and Conditions.

Client Initials: _____
10. The Client acknowledges that neither Bacera nor any associated entity:
 - i) guarantees the performance of any given financial product or account;
 - ii) guarantees that any financial product or account will achieve a particular rate of return.

SIGNATURE PAGE

I declare that the information provided in this application to the best of my knowledge is wholly true. I acknowledge I have read the above Declarations, as well as Bacera's Financial Services Guide ("FSG") and Product Disclosure Statement ("PDS"), and understand them fully. If at any time the information contained herein should change I will notify you immediately in writing.

SIGNED _____

DATE _____

PRINT FULL NAME _____

FOR OFFICE USE ONLY PROCESSED BY _____ Account Representative _____ Date	APPROVED BY COMPLIANCE DEPARTMENT _____ OFFICE MANAGER _____
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Account Opening Checklist

- ❑ **Applicants must acknowledge they have received and read the entire Bacera Client Agreement, including the Financial Services Guide, Product Disclosure Statement, and Terms and Conditions within the PDS.**
- ❑ **Applicants must provide all contact and personal information requested in the Client Application.**
- ❑ **Applicants must provide all financial information requested within the Client Application, including assets, liabilities, income and previous investment experience.**
- ❑ **If the Applicant is opening a Corporate Account, one Director must sign the Board Resolution.**
- ❑ **Applicants must provide at least two forms of ID, either two primary forms (driver's license and passport) or one primary and one secondary form (utility bill).**
- ❑ **A Guarantor must sign the Guarantee, accompanied by a witness, for all Corporate Applicants.**
- ❑ **All Corporate Applicants must provide ID for at least two directors.**

NOTICE TO CUSTOMERS

Bacera Co Pty Ltd hereby declares that we have never authorized or delegated any enterprise, organization or individual or any affiliated company, organization or individual of our company to carry out any financing agency service in any form. Please do not entrust any affiliated company, organization or individual of our company or any employee of such affiliated company or organization to carry out any financing agency service on your behalf. In case of any losses or damages resulting there from, our company, as well as our affiliated companies and organizations will not be liable for these losses and damages.

Client Name (please print) _____

Signature: _____ **Date:** _____