

HANTEC MARKETS (NEW ZEALAND) COMPANY LIMITED
(Company registration number: 5687627)
INDIVIDUAL ACCOUNT OPENING FORM

1. Account Opening Application

I _____ (“the Client”) hereby apply to open and maintain a trading account or accounts pursuant to the Hantec Markets (New Zealand) Company Limited (“HMNZ”) Product Disclosure Statement for an offer of contracts for difference (“PDS”) and the Terms and Conditions (“Terms and Conditions”) that have been provided to me.

Note: This form is subject to the PDS and the Terms and Conditions, and in the event of inconsistency, the PDS and the Terms and Conditions will prevail to the extent of that inconsistency.

2. Base Currency

Please tick the appropriate box (only one choice is accepted)

Base Currency NZD USD

3. Disclaimer Relating to the Receipt of Non-Original Copies

I hereby authorise HMNZ to accept any fax message or electronic documents from me as the original instruction, and I shall fully indemnify HMNZ from and against all losses, damages, interest, costs, expenses, actions, demands, claims, proceedings whatsoever which may incur, or which HMNZ may suffer or sustain, as a result of or arising from the exercise of that instruction.

This indemnity is in addition to any other indemnities contained in the Terms and Conditions.

4. Receiving Correspondence

I hereby authorise you to send all correspondence, including statements, to me by email.

I understand that you will use the email address that I have supplied in this form for this purpose (please see 8.13 overleaf).

5. Receiving Password Notification

I hereby authorise you to send the password to my HMNZ trading account to me by email.

I understand that you will use the email address that I have supplied in this form for this purpose (please see 8.13 overleaf).

I understand that the password is strictly confidential. I take full responsibility for all transactions, loss, costs and expenses, should any transaction be accepted and concluded by HMNZ after the password is provided to me.

6. Investment Objectives

Note: HMNZ cannot provide personal advice that takes into account a person’s (including the Client’s) circumstances, objectives, financial situation. If HMNZ provides any advice, it would be general only and may not be appropriate to your circumstances, objectives, or financial situation. You must read our PDS before making a decision to use HMNZ’s services and for more information about HMNZ. This is the case even if HMNZ has information about your circumstances, objectives, and financial situation.

6.1 Please tick the appropriate box (only one choice is accepted)

Capital Growth Speculation Hedging Other

6.2 Please explain the above selection(s) : _____

7. Financial Information

Please tick the appropriate box (only one choice is accepted)

7.1 Annual Income / Profit ≤ USD 10,000 USD10,001-30,000 USD 30,001-50,000 USD50,001-70,000 > USD 70,000

7.2 Other Income ≤ USD 10,000 USD10,001-30,000 USD 30,001-50,000 USD50,001-70,000 > USD 70,000

I own the following property(ies) : _____

8. Client Particulars

8.1 Family Name

8.8 Correspondence Address (if Different to Residential Address)

8.2 Given Name(s)

8.3 Date of Birth

8.9 Principal Residential Address

8.4 Gender
 Male Female

8.10 Business Field

8.5 Country of Citizenship (*if more than one, please state all*)

8.11 Position / Occupation

8.6 Passport number / National ID number (*please cross out one*)
(*If you hold multiple citizenships, please give details for each*)

8.12 Number of Years Spent in the Above Occupation

8.7 Contact Phone Number

8.13 Email Address (*Please Use Clear, Block Letters*)

9. International Tax Declaration (FATCA / CRS)

9.1 Declaration of Tax Residence (please tick the appropriate box)

- I hereby declare that I am resident for tax purposes in New Zealand.
- I hereby declare that I am resident for tax purposes in: _____
(*please state name of country or jurisdiction*)

(Please contact us if you are a tax resident in multiple countries or jurisdictions.)

My tax identification number (“**TIN**”) in this country or jurisdiction is: _____
(*Please state the number which your tax authority can use to identify you. If you cannot provide a TIN because your country or jurisdiction of tax residence does not issue TINs or does not require TINs to be disclosed, please state this.*)

9.2 Declaration on U.S. Person Status (please tick each that applies)

- I hereby declare and agree that I am a "U.S. person" for U.S. federal income tax purposes.
Note: Please submit a W-9 form to us if you are a “U.S. person”
- I hereby declare that I am applying to invest on my own account, and not as agent, custodian, nominee, signatory, investment advisor, intermediary, or legal guardian. (*Please contact us if you are not investing on your own account.*)

9.3 Acknowledgement of Client (Please tick each box to indicate that you agree)

- I understand that it is an **offence** under the law of New Zealand to make a false disclosure regarding the jurisdiction(s) in which I am tax resident.
Further, it may also be an offence to make a false disclosure under the law of my home jurisdiction.
- I agree to notify HMNZ within 30 days of any change regarding my tax residence.

10. Retail Client Questionnaire

Before HMNZ (“we”) can provide a retail investor (“you”) with a trading account, we are required to ask you to provide information about your knowledge, experience and level of understanding of the relevant type of derivative (unless we already have this information) so as to enable us to assess whether the derivatives that we offer are suitable for you. We may ask you for further information before we accept your application.

Warning: Without this information we may not be able to assess whether you have the necessary ability to understand the particular type of derivatives that we offer and the risks involved and we will not be able to provide a trading account for you.

Consequently, we strongly advise you to provide us with the requested information which we believe is necessary to enable us to assess your suitability.

[Level of education, profession or relevant former profession]

1. Do you have any of the following educational experience?

- a. Educational seminars on Over-The-Counter (OTC) derivatives such as CFDs, FX and Commodities
- b. Online education courses on Over-The-Counter (OTC) derivatives such as CFDs, FX and Commodities
- c. Hold professional or academic qualifications that provide you with clear understanding of leveraged financial products.
- d. Relevant work experience that provides you with suitable understanding of the fundamental risks involved in trading leveraged financial products such as CFDs, Margin FX and Commodities.
- e. Researched information about the FX, Securities and/or Commodities markets

Please provide us with such details as will help us to assess your understanding of our products.

[Financial advice received in relation to derivatives]

2. Have you received personalised financial advice in relation to the derivatives which we offer? Yes No
If yes, are you able to provide us with confirmation from the financial adviser?

[Previous experience in investing in financial products, including securities and derivatives]

3. Which of the following financial products do you have prior trading experience with? (Please tick the appropriate box(es)):

- Margin FX CFDs Securities
 Options Futures Commodities

4. When was the last time that you traded? (Please tick the appropriate box):

- Within the last month Within the last 1-6 months Within the last year Over a year ago

5. How frequently do you trade CFDs?

- More than once per week More than once per month Between two and twelve time per year Less than twice per year

6. Do you have a good understanding that:

- a. Trading CFDs is different from other types of financial investments, as you do not own, or have any rights in, the underlying assets?
 Yes No
- b. The concepts of margin and leverage apply to these products which means that when you trade CFDs, you could lose substantially more than your initial deposit or margin payment and you might have to make further payments?
 Yes No
- c. The concepts of market volatility and liquidity apply to trading on these products which means that market circumstances may impact on pricing and our ability to generate prices or to execute orders?
 Yes No
- d. Foreign Exchange and CFDs are traded on an online platform, which means you need to be familiar using an online trading platform including how to open and close a trading position?
 Yes No
- e. It is your responsibility to monitor your open positions and manage the risks of trading by using trading tools such as stop loss orders?
 Yes No

11. HMNZ Privacy Statement

HMNZ is committed to ensuring the confidentiality and security of the personal information of its clients, and is also committed to complying with both the Privacy Act 1993 and the Anti-Money Laundering And Counter Financing of Terrorism Act 2009, and does not use that information to provide personal advice to the client. The HMNZ Privacy Policy detailing its handling of personal information is available upon request. The Client may request access to information held about the Client by contacting us on (+64) 9 523 2777.

If the Client does not provide some or all of the information requested on our application form or on HMNZ’s website, HMNZ may not be able to accept the Client’s application to transfer money or otherwise provide the Client with our services.

HMNZ may use information received from its clients to send marketing material to its clients from time to time unless the Client elects not to receive it. HMNZ will not provide Client information to any third party other than in accordance with the HMNZ Privacy Policy.

I do not wish to receive any promotional material from HMNZ.

12. Acknowledgments

I do hereby confirm and acknowledge the following: (Please tick every box to indicate that you understand each acknowledgement)

- I have read, understood and agree to be bound by this Account Opening Form.
- I have read, understood and agree to be bound by the Terms and Conditions which are separate to this Account Opening Form and which have been provided to me.
- HMNZ has provided me with a copy of its Product Disclosure Statement, dated 4 November 2019, which I have read and understood.
- I understand the financial risks associated with trading leveraged derivatives, including the risk that I can lose more money than I deposit.
- The completion and signing of this Account Opening Form merely constitutes an offer to open an account with HMNZ.
- If HMNZ accepts my application to open an account, it will formally communicate its acceptance by Notice to me as set out in the Terms and Conditions. Only then will there be a binding agreement between HMNZ and me.
- I understand that I should seek independent legal, financial and taxation advice in relation to the Terms and Conditions and this Account Opening Form prior to signing it.
- I agree to indemnify HMNZ in respect of any false or misleading answers in this form.
- I agree all fees and charges received by HMNZ as described in the PDS (other than third party fees and charges) are a benefit given to HMNZ by me, in exchange for the price quoting and transactional services provided by HMNZ. I understand that HMNZ does not charge volume-based or asset-based fees for any services it provides. I understand, consent to, authorise and direct HMNZ to charge me in this way.
- I acknowledge and agree that HMNZ is subject to and required to comply with certain legal, regulatory and/or other requirements (the "Reporting Requirements"). As such, I provide my express consent that HMNZ shall have the right to provide such personal data and information to any governmental authorities, regulatory bodies and/or any other person(s) in respect of the Reporting Requirements.
- I authorise HMNZ to attempt to verify my identity and address via an online third party service provider and understand that HMNZ may pass to this service provider details from copies of any identity documents that I have supplied to HMNZ for the purpose of verifying that the document is valid. This may mean that details are supplied to the agency that issued the document.
- I authorise HMNZ to pass a copy of my proof of identity documentation to a third party service provider for the purpose of establishing it is authentic.
- (Select if you are providing a driver's licence as proof of identity)** I give my consent for my details to be checked online with the New Zealand Transport Authority licence card verification service.
- In the event of any inconsistency between the English language version of this form and the translated equivalent in any other language, the English language version shall prevail, to the extent of any inconsistency.

This document must be signed and returned to HMNZ’s offices prior to the Client transacting with HMNZ.

Execution and acceptance of this account opening form

FOR INDIVIDUAL ACCOUNT SIGNED BY	Date / / 20
Name of Client	Signature of Client

Should you have any enquiries, please do not hesitate to reach us at:

Telephone	Email	Website
+64 9 523 2777	sales@hantecmarketsnz.com	www.hantecmarketsnz.com

Verification of Identity and Address

HMNZ is required by law to verify the identity and address of every client. We will retain copies of your documents that are capable of proving these matters. In most cases, we will seek to verify the validity of any documentation that you supply to us for this purpose through an online third party service provider. Please note that your proof of identity documentation must not have expired when you apply for your trading account. Details of acceptable 'proof of identity' and 'proof of address' documents are set out below.

We can verify your identity if you **either**:

- (a) Meet with our staff and show them your original proof of identity and proof of address documents; or
- (b) Provide us with a copy of the proof of identity and proof of address document(s) that has been certified in accordance with the provisions on certification set out below; or
- (c) Email us copies of documents that we need to verify your identity using electronic sources. **(Recommended.)**
Please note that we are not always able to verify the identity and address of all clients in this way and we may need to ask you to supply copies of further documents to us or to verify your details using method (a) or (b).

(a) Showing us your original proof of identity and proof of address documents

If you choose this option, please meet with any member of our staff and allow us to copy such documentation as we request that will allow us to verify your identity and your address.

Proof of Identity

Please provide us with **EITHER** (1) a Primary Document **OR** (2) a New Zealand Driver's Licence **AND** a Secondary Document:

Primary Documents (must be valid)

Passport (New Zealand or overseas)
National ID Card that proves your citizenship
Firearms Licence – New Zealand Government Issue

Secondary Documents

Debit / Credit Card issued by a New Zealand Bank – must be signed
Full Birth Certificate
SuperGold Card – must be signed
Bank Statement issued by a New Zealand bank within the last 12 months
Letter issued by a government department in New Zealand within the last 12 months

Proof of Address

Please provide us with ONE of the following (must be less than three months' old):

Utility Bill Council Rates Notice Landline Phone Bill Bank Statement

Please note that we may ask you to provide more documents for identification

(b) Certification of proof of identity and proof of address documents

If you choose this option, please select the same documents as required under (a) above and take a high quality photocopy of any page that shows any of your photograph, name, date of birth and address, along with the original document, to an approved certifier. If you are:

in New Zealand, we will accept a document certified by a:

- Member of the police
- Justice of the peace
- Registered medical doctor
- Notary Public
- Practising Lawyer
- Member of Parliament
- Chartered Accountant

outside New Zealand, we will accept a document certified by a:

- Notary Public
- Practising Lawyer

Note: Please show the original document to the certifier and ask the certifier to write the following wording on the photocopy:

I certify this to be a true copy of the original, which I have seen [and the photograph bears a true likeness of the holder*]

*Please delete words in brackets if not applicable

Note: Certification must include the name, signature, contact details of certifier (e.g. phone number, postal address or email address), and the date of certification. The certifier must specify their capacity to act as an acceptable certifier from the lists set out above.

Note: the certifier must not be:

- a) related to you
- b) your spouse or partner
- c) a person who lives at the same address as you
- d) a person involved in the transaction or business requiring the certification.

Note: Certification must have been carried out in the three months preceding the presentation of the copied documents to us.

(c) Electronic identity verification

If you choose this option, you must supply us with a copy of a proof of identity document and a proof of address document from the following:

Proof of identity (must be valid)

Passport (New Zealand only) – please photograph the bio / photo page
Drivers Licence (New Zealand only)
National ID Card (must be issued by the Republic of China)

Proof of address (must be less than three months' old)

Utility Bill
Council Rates Notice
Landline Phone Bill
Bank Statement

Please send us a high resolution digital photograph of your proof of identity. Please ensure all four corners of the document are in frame when the photograph is taken. Place the document on a plain, dark surface, avoid dark areas and glare, and hold the camera steady.

If you supply us with proof of identity and proof of address documents to allow us to verify your identity and address using online data sources, you authorise us to upload the details to our third party service provider for the purposes of verifying your name, date of birth and address. Further, when you supply us with a copy of your proof of identity, you authorise our third party service provider to seek to verify the details with the issuing authority.

If you supply us with a photograph of a New Zealand passport as your proof of identity and your identity information is not verified through our third party service provider, you may make an enquiry as to why your information has not been verified. We will submit your enquiry to our third party service provider. During this enquiry process no adverse action will be taken based on or due to the verification process.

Acceptance by HMNZ (FOR OFFICE USE ONLY)

If this form has been completed online, HMNZ will notify the Client by email when or if it agrees to open an account for the Client. The email will be deemed to have been received by the Client if sent to the email address set out in the Client Particulars section of this form.

If this form has been completed in hard copy, HMNZ will sign below and notify the client by email when or if it agrees to open an account for the Client.

Primary Document

- New Zealand Passport Overseas Passport National ID Card New Zealand firearms licence

ID No. _____

New Zealand Drivers Licence

- NZ drivers licence

ID No. _____

Secondary Document

- Birth Certificate New Zealand Bank Debit / Credit Card (must be signed) SuperGold Card (must be signed)
 New Zealand Bank Statement (less than 12 months old) New Zealand Government-Issued Letter (less than 12 months old)

ID No. _____

Proof of Address (must be less than 3 months old)

- Utility Bill Council Rate Notice Bank Statement Landline Phone Bill

Name of HMNZ Authorised Person	Signature of HMNZ Authorised Person	Date / / 20
Name of HMNZ Compliance Staff	Signature of HMNZ Compliance Staff	Date / / 20

Remarks