

# Application Form



## INFORMATION DISCLOSURE

Please understand the risk involved before you open a CFD account.

You are being introduced to CMC Markets UK Plc by Pretium Commodities which is a trading name of Pretium Securities. Your CFD account will be provided by CMC Markets UK Plc, who are authorised and regulated by the Financial Services Authority. All dealing, administration and settlement in relation to these services is undertaken by CMC Markets UK Plc. You and CMC Markets UK Plc, not Pretium Securities, will be counterparties to each transaction.

Please complete ALL Sections of this form. CMC Markets UK Plc ("CMC" requires the following information to process your application in accordance with FSA rules. When completed, this application will form part of your Agreement with CMC Markets UK Plc.

Before completing this Application Form we advise you to read CMC's Terms of Business, Execution Policy and Risk Warning Notice, provided to you previously and which are also displayed on our website or available from us in hard copy format on request.

CMC MARKETS UK PLC WILL ONLY CONDUCT BUSINESS WITH A CUSTOMER FOR WHOM IT CONSIDERS SUCH BUSINESS TO BE APPROPRIATE AND IN ASSESSING APPROPRIATENESS, WILL RELY ON THE INFORMATION PROVIDED BY THE CUSTOMER IN HIS/HER APPLICATION FORM. FOR THIS REASON, IT IS ESSENTIAL THAT YOU IMMEDIATELY ADVISE US IN WRITING (FAX OR E-MAIL TRANSMISSION IS ACCEPTABLE) IF THERE IS SUBSEQUENTLY ANY ADVERSE CHANGE IN THE INFORMATION WHICH YOU HAVE PROVIDED.

### GENERAL INFORMATION

1. Full Name:
2. Residential Address: (Please refer to last page for further information)
3. E-mail address:
4. Telephone Number:  
  
home:  
  
work:
5. Mobile No:
6. Date of Birth: (Day/Month/Year)

### JOINT APPLICATION

For joint accounts each applicant should complete a separate form. Please contact a sales executive who will provide another form if necessary.

### INVESTMENT SERVICES

1. Will any other person aside from you personally give us instructions regarding trading to be undertaken on your account, or, will an agent act on your behalf?

Yes  No

IF YES, please contact our sales department who will provide you with the necessary forms. N.B. Full proof of address and identity will be required for any third party.

### EMPLOYMENT INFORMATION

1. Employer's Name:
2. Employer's Principal Type of Business:
3. Position Held:
4. Is your employer an FSA Member firm? Yes  No

IF YES, please advise us of the e-mail address to which copy contract notes should be sent to satisfy personal account trading rules.

5. Does your position require knowledge of derivatives?  
Yes  No
6. Have you previously worked in a professional position which requires knowledge of derivatives?  
Yes  No

IF YES, please provide details of employer's name and position held

### FINANCIAL INFORMATION

This information is provided to assist CMC Markets UK Plc in assessing the appropriateness of you trading with us, and will not have the effect of limiting your potential losses to the amount indicated.

1. Approximate Annual Income – All Sources:
2. Approximate Net Worth: (Excluding Private Residence)
3. Approximate value of your Share Portfolio:
4. Are your investment objectives: (please tick one or more of the following)  
Speculation  Hedge against other investments
5. CFDs are a leveraged product, which means you can lose more than your initial investment. Are you able to bear the financial risk associated with this kind of product and does this meet your investment objectives?

Yes  No

### BANK / BUILDING SOCIETY DETAILS

1. Name of Bank:
2. Name of account:
3. Account number:
4. IBAN Number:
5. SWIFT Code:

## PREVIOUS TRADING EXPERIENCE

- Do you understand the nature of margined transactions?  
Yes  No
- Do you understand the risks involved in margined transactions?  
Yes  No
- Have you traded any instruments in the last 12 months?  
Yes  No
- IF YES, how many times have you traded each of the products listed in the last 12 months? And what was your average deal size?

	No. of Trades	Average Deal Size <small>(please specify currency e.g. £, \$, € etc)</small>
Shares	_____	_____
Spread Betting / CFDs:	_____	_____
Foreign Exchange:	_____	_____
Commodities / Treasuries:	_____	_____
Financial Futures:	_____	_____
Options:	_____	_____

- Which Companies have you dealt with?  
And was it on an EXECUTION ONLY basis?

	Company Name	Execution Only	
Shares	_____	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Spread Betting / CFDs:	_____	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Foreign Exchange:	_____	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Commodities / Treasuries:	_____	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Financial Futures:	_____	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Options:	_____	Yes <input type="checkbox"/>	No <input type="checkbox"/>

## KNOWLEDGE AND EXPERIENCE

- Have you ever attended a seminar or course on CFDs and/or Spread Betting?  
Yes  No   
IF YES, please provide details of who the seminar or course was run by
- CMC Markets have provided information on the website on how CFDs work, the risks involved and trading examples. Have you read this information carefully and understood it?  
Yes  No
- Do you have a numerate based university degree?  
(for example: economics, mathematics, physics, engineering, accounting)  
Yes  No   
IF YES, please provide details
- Do you have a relevant professional qualification that you consider would assist your understanding of CFDs or leveraged products in general?  
(for example: accountancy, legal or Securities and Investment Institute qualifications.)  
Yes  No   
IF YES, please provide details

Please select a reporting currency for your account  
i.e \$ USD,

Where did you hear of CMC Markets UK Plc?

## NON-EU RESIDENTS

If you are not an EU resident each completed and signed application form must be accompanied by one (1) document from **List A** and one (1) document from **List B** below.

We will accept a photocopy of your identity documents if they are officially stamped and signed together with the following statement:

**"Certified as a true copy of the original" by your lawyer, embassy or consulate.**

### List A - Proof of identity

Valid passport  
Valid photocard driving licence or full paper driving licence  
Valid National ID card

### List B - Proof of address

Utility bill  
Local authority tax bill  
Valid driving licence, either part (if not used from list A)  
Bank, building society or credit union statement  
Most recent mortgage statement

List B documents (with the exception of the Valid Drivers Licence) should be dated from within the last six (6) months. Please note that mobile phone and internet bills, or final demand and reminder letters will not be accepted.

Whilst we do not recommend that you send original documents if you prefer this method then we strongly recommend that you use registered post. We will endeavour to return this to you the same business day of receipt also by registered post.

## IMPORTANT

**PLEASE NOTE THAT EACH COMPLETED AND SIGNED APPLICATION FORM MUST BE ACCOMPANIED BY THE APPROPRIATE DOCUMENTS LISTED.**

**PLEASE POST ALL DOCUMENTS TO**

**Pretium Commodities  
Beaufort House  
15 St. Botolph Street  
London EC3A 7DT**

If you have any questions, please call us on +44 (0) 207 613 8383. All Information given will be treated in the strictest of confidence. CMC Markets is the trading name of CMC Markets UK Plc. Authorised and regulated by the Financial Services Authority, registration no. 173730. CFDs are only offered to non US residents.

### DECLARATIONS

I represent that the information contained in this Customer Account Application is true and accurate and I will promptly notify you in writing if any of the representations contained herein materially change or cease to be true and correct.

I agree that CMC will provide the Services on the terms of the Terms of Business and I have read and understood the Terms of Business.

I understand the nature and risks of CFD trading and I have read and understood the contents of the Risk Warning Notice.

I can confirm that I have read and accept the Execution Policy.

Signature:

Date (Day/Month/Year):

### CMC Markets Data Protection Statement

If I provide you with personal data, I understand that the data will be held securely in accordance with the terms of CMC Markets' Privacy & Security Policy (a copy of which can be accessed on [www.cmcmarkets.co.uk](http://www.cmcmarkets.co.uk) or provided on request).

We would like to send you information about CMC Markets our CMC Group's products or services by text messaging from time to time. If you would like to receive such communications please tick this box

We would like keep you informed by letter and/or electronic mail about CMC Markets our CMC Group's products, services and additional benefits which we believe may be of interest to you. If you do not want us to do so, please tick this box

The list of CMC Group companies can be obtained from [www.cmcmarkets.com](http://www.cmcmarkets.com)

I **do not** want to receive further information about CMC Markets our CMC Group or their products and services